



Board of Regents

June 2017

June 9, 2017

9:00 a.m. - 12:15 p.m.

Boardroom, McNamara Alumni Center

BOR - JUN 2017 - FRI

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BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: Recognition of Academic Professionals & Administrators Consultative Committee Outgoing Chair

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson
President Eric W. Kaler

PURPOSE & KEY POINTS

The purpose of this item is to recognize Etty DeVeaux, outgoing chair of the Academic Professionals & Administrators Consultative Committee (PACC). DeVeaux serves as the Chief of Staff and Assistant to the Vice Provost and Dean of the Graduate School.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: Recognition of Civil Service Consultative Committee Outgoing Chair

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

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson
 President Eric W. Kaler

PURPOSE & KEY POINTS

The purpose of this item is to recognize Duane Orlovski, outgoing chair of the Civil Service Consultative Committee (CSCC). Orlovski serves as the Internal Medicine Residency Coordinator in the Office of Medical Education.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: Recognition of Student Representatives to the Board of Regents

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

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson

PURPOSE & KEY POINTS

To recognize the service of the 2016-17 Student Representatives to the Board of Regents:

Lauren Mitchell, Chair
Twin Cities (COGS)

Mike Kenya, Vice Chair
Duluth

Lauren Anderson
Rochester

Mckenzie Dice
Morris

Phillip Guebert
Twin Cities (PSG)

Mina Kian
Twin Cities (MSA)

Connor Klemenhagen
Twin Cities (MSA)

Tareyn Stomberg
Crookston

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Special Oversight Committee
May 4, 2017**

A special meeting of the Special Oversight Committee of the Board of Regents was held on Thursday, May 4, 2017 at 8:30 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Thomas Anderson, presiding; Peggy Lucas, Steven Sviggum.

Staff present: Interim Vice President Bernard Gulachek; General Counsel Douglas Peterson; Executive Director Brian Steeves; and Chief Auditor Gail Klatt.

Regent Anderson acknowledged confusion about events involving members of the Gopher football team and the subsequent response by the criminal justice system, Title IX investigations, and activities of the Department of Intercollegiate Athletics (Athletics). He referenced as well University policies and codes of conduct, regulations of the U.S. Department of Education, and federal law.

Anderson reported that the charge of the Special Oversight Committee is to review, not investigate, four specific issues:

1. Practices and policies with respect to suspensions and other discipline within the Department of Intercollegiate Athletics (Twin Cities Campus), including how these practices and policies interact or relate to Board of Regents Policy: *Student Conduct Code* (Conduct Code) process and the criminal justice process.
2. The standards of review and processes at each stage of the Conduct Code process as it relates to Title IX matters.
3. Practices and policies regarding permissible communication during the Conduct Code process, including specifically when that process involves student-athletes.
4. Lessons learned from the threatened boycott by the football team, including review of involvement by Regents, senior University leaders, coaches, and individuals from outside the University.

General Counsel Peterson emphasized the University's responsibility to keep students safe and to employ fair policies. He stressed that the University must lead this conversation in a judicious and considerate manner, with respect for student privacy. Peterson recommended Dorsey and Whitney attorneys John Marti and Jillian Kornblatt to assist in the committee's review.

Marti remarked that he and Kornblatt will solicit input and review documents and communications to provide the committee with facts and an assessment of those facts. Their role, he emphasized, is not to direct policy but to provide the framework for the committee to decide what, if any, policy decisions should be made. Marti emphasized the importance of a transparent process that also upholds students' privacy rights and maintains attorney-client privilege.

Professor Perry Leo, Faculty Athletics Representative, remarked that the representatives look forward to helping establish institutional best practices. He stressed the importance of a review process that is transparent, thoughtful, and fair.

In response to a question from Regent Sviggum, Marti replied that he is currently serving as outside counsel to the University on pending litigation. Kornblatt replied that she has never been retained by the University.

Regent Lucas expressed hope that the review will inform better practices and policy for the whole University and not just for Athletics.

A motion was made and seconded and the committee voted unanimously to retain as outside counsel John Marti and Jillian Kornblatt, to assist in the committee's review.

The meeting adjourned at 8:56 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Emergency Board of Regents Meeting
May 11, 2017**

An emergency meeting of the Board of Regents was held on Thursday, May 11, 2017 at 8:45 a.m. in the East Committee Room, 600 McNamara Alumni Center.

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

Staff present: General Counsel Douglas Peterson and Executive Director Brian Steeves.

Others present: Brian Slovut.

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

The emergency meeting convened in public session at 8:45 a.m. 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 by the attorney-client privilege, 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 and 13D.05 Subd. 3(b), an emergency non-public meeting of Board of Regents be held on Thursday, May 11, 2017 at 8:45 a.m. in the East Committee Room, 600 McNamara Alumni Center, for the purpose of discussing attorney-client privileged matters related to confidential University personnel matters involving pending proceedings and the potential for litigation.

The Board voted unanimously to adopt the resolution and the public portion of the meeting ended at 8:46 a.m.

The meeting adjourned at 10:08 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Facilities, Planning & Operations Committee
May 11, 2017**

A meeting of the Facilities, Planning & Operations Committee of the Board of Regents was held on Thursday, May 11, 2017 at 10:15 a.m. in the West Committee Room, 600 McNamara Alumni Center.

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

Staff present: President Eric Kaler; Interim Chancellor Barbara Keinath; Senior Vice President Brian Burnett; Vice President Brooks Jackson; Interim Vice Presidents Michael Berthelsen and Bernard Gulachek; Executive Director Brian Steeves; and Associate Vice Presidents Michael Volna and Stuart Mason.

Student Representatives present: Mina Kian and Connor Klemenhausen

THE INTERNET OF THINGS IN UNIVERSITY OPERATIONS

Regent McMillan invited Interim Vice President Gulachek; Kemal Badur, Senior Director, Office of Information Technology (OIT); and Jeffrey Davis, Assistant Director, Energy Management, to present on how the Internet of Things (IoT) affects University operations, as detailed in the docket.

Gulachek defined the IoT and the impact of IoT device growth on the University. Badur gave examples of commercial IoT and detailed the growth in IoT device capacity and computing power. Davis offered differences between enterprise and consumer IoT devices, noting that the University now has 750,000 individual monitoring devices across the system. He noted building automation systems as an early use of IoT devices, indicating that the University was an early adopter and has become a leader in building automation use. He explained that the University adopted the BACnet, a communication protocol that provides standardization of building automation systems across different producers, ensuring that all devices are able to communicate with each other.

Davis provided examples of building automation systems across the University, including in the new combined heat and power plant and the public safety emergency communications center. He described how staff are able to monitor building conditions in real time from any mobile device. Researchers are able to remotely monitor room temperature and freezer functioning, and receive alerts if those systems develop problems. Davis reported that this helps researches keep track of critical systems and quickly react to problems that could become catastrophic. He noted that building systems allow for precise energy management and tracking, and that future development will allow the system to detect faults and automatically issue work orders to address them.

Badur outlined challenges created by the growth of IoT devices. He highlighted the issues caused in networking bandwidth and capacity. He noted that security and privacy are also considerations, especially with consumer devices that could be infected and used by hackers to attack the University's network. Badur advised that the new network infrastructure approved by the Board will have the size, capacity, and security features necessary to address those

concerns. Davis added that the University continues to work with BACnet to ensure strict conformance across devices, along with being a controls product testing and development partner.

In response to a question from McMillan, Gulachek explained that the University works with Big Ten peers to identify and adopt best practices. The University also looks across private industry for examples. Davis agreed that collaboration with Big Ten peers is important, but noted that the University is one of the largest and most integrated building automation system users in North America. Given that standing in the market, Davis reiterated that the University is a sought-after partner for testing and development by building control companies. Interim Vice President Berthelsen highlighted that in the building automation area, the University is setting the benchmark for others.

Regent Anderson asked if new technology for students would be included in the design of Pioneer Hall. Berthelsen responded that while the design was not at that stage, the technology would certainly jump several generations from what the current building has. Gulachek offered that installing a solid data network in Pioneer and across the University would ensure that the institution could take advantage of future technology.

In response to questions from Regent Johnson, Gulachek reported that the University has two data backup centers and plans for handling major outages or disasters.

Student Representative Kian asked how student feedback is incorporated into the design and operation of the University's network infrastructure. Badur commented that OIT receives constant feedback from students related to Wi-Fi issues and areas with low connectivity. He noted that the network upgrade design took those concerns into account, and indicated that OIT staff walked through residence halls with students to identify network issues.

In response to a question from Anderson, Badur explained that the system has 7,000 network access points. He described those access points as being equivalent to a consumer router. The network upgrade will add smaller access points and additional access points to residence halls, bringing the total to 12,000. Badur cautioned that more access points do not necessarily provide faster network access, but that the system is engineered to provide greater coverage with the fewest number of access points.

UNIVERSITY HOUSING COST PROJECTIONS - TWIN CITIES CAMPUS

Regent McMillan invited Interim Vice President Berthelsen and Brian Swanson, Assistant Vice President for University Services, to discuss housing cost projections for the Twin Cities campus, as detailed in the docket.

Berthelsen reminded the committee of past housing conversations and outlined the goals for the presentation. Swanson explained that housing is an auxiliary operation, which is self-supporting and receives no O&M funding. He suggested that housing must compete in the marketplace and maintain a high occupancy rate to ensure revenue. Housing fully funds depreciation to ensure adequate resources for reinvestment in facilities.

Swanson summarized the Twin Cities enrollment strategy and the types of housing capacity that are planned to meet the increased enrollment goals. He asserted that given current housing supply and the enrollment plan, there is no immediate need for the University to build or acquire additional housing. He noted the increased capacity built into current projections based on the renovation of Pioneer Hall and the master leases of Keeler Apartments and Radius on 15th.

Swanson defined the components of University housing revenue and rates, placing the University's total cost of attendance and of housing rates in the context of the Big Ten. He offered that even with the projected increases the University would still be at the low end of the Big Ten by FY 2022. He provided an overall rate comparison between FY 2016 and projected rates in FY 2022.

Student Representative Klemenhausen asked how the cost efficiency worked for cooperative student housing and the future of master leasing after the renovation of Pioneer. Swanson replied that the cooperative housing is some of the most affordable in the Twin Cities for family student housing and international students. He stated that while the housing is managed directly by the cooperatives, it will require more capital investment from the University in coming years. Swanson referenced the University's long history with master leasing and asserted that it would most likely continue as a component of the University's housing strategy. Berthelsen added that the cooperatives meet the needs of the target audience and provide an affordable option. He conveyed the desire to maintain the price point, but also the need to address future capital needs with targeted investments while addressing safety issues as they arise.

Regent Lucas expressed her surprise that there is no immediate need for additional University housing given additional opportunities for second-year and transfer students to live on campus. Swanson emphasized that the University could meet current goals without additional facilities beyond those planned. Berthelsen clarified that the housing strategy could be changed to meet new targets, but cautioned that the University should continue to seek a balance between what the private market and the University provide. Swanson added that if demand by third- or fourth-year students increases, additional capacity could be gained quickly by continuing the current master leases and possibly adding additional master leases.

McMillan requested an update on the current master leases of Keeler Apartments and Radius on 15th. Laurie McLaughlin, Director of Housing and Residential Life (HRL), reported that Keeler is at full occupancy and Radius at 80 percent occupancy for the 2017-18 academic year. She reported that transfer students have not been assigned housing yet and HRL is working to fill Radius.

Regent Anderson shared his appreciation that the renovation of Pioneer Hall adds only \$900 to housing rates, yet provides in many respects a brand-new residence hall. He wondered how incoming students who are used to having their own bedrooms react to University housing. McLaughlin responded that while students often come from having a single room, first-year students frequently request roommates to have that first-year college experience. She offered that as students progress, they do have a desire for increased privacy. She explained that buildings like Radius allow for multiple students to share an apartment but have private bedrooms.

Regent Rosha commented that the University's housing capacity appears low compared to peers. He advocated including housing goals in the system-wide strategic plan, along with other facilities goals. He asked that the administration explore ways to fund renovations and new housing beyond asking current students to pay for those improvements.

**SCHEMATIC DESIGN: HEALTH SCIENCES
EDUCATION CENTER - TWIN CITIES CAMPUS**

Regent McMillan invited Vice President Jackson and Bruce Gritters, Director of Project Delivery, to present for action the schematic design for the Health Sciences Education Center (center), as detailed in the docket.

Gritters reviewed the location of the center. Jackson explained the project rationale. He reminded the committee that the center is extremely important to the University's health sciences and in addressing criticism received by the Medical School during its last accreditation review. Jackson noted that the center's location helps make team training across Academic Health Sciences programs possible and convenient.

Gritters outlined the cost estimate, funding sources, anticipated completion date, and estimated difference in annual operating costs, noting no changes since the committee reviewed the project in February. He clarified that project funding is contingent upon inclusion of the project in a bonding bill by the Minnesota Legislature. McMillan told the committee that the project would still require capital budget approval by the Board to finalize the total project cost based on what is provided by the Minnesota Legislature.

Regent Lucas asked about plans for Diehl Hall. Interim Vice President Berthelsen explained that plans for Diehl are in process, noting that most laboratories have been moved and others will need to be moved.

Regent Sviggum asked if the price for the project had changed from what was requested last year in the University's bonding request. Berthelsen responded that the cost is the same since construction inflation was built into the total cost. He cautioned that if the project is not included in the bonding bill this year, the price would need to be updated, most likely to \$111-112 million.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the schematic design for the Health Sciences Education Center.

SCHEMATIC DESIGN: PIONEER HALL RENOVATION AND CONSOLIDATED SUPERBLOCK DINING - TWIN CITIES CAMPUS

Regent McMillan invited Bruce Gritters, Director of Project Delivery, and Laurie McLaughlin, Director of Housing and Residential Life, to present for review and action the schematic design for the Pioneer Hall renovation and consolidated Superblock dining, as detailed in the docket.

Gritters summarized the location of Pioneer. McLaughlin explained the project rationale and identified the changes in the design since the committee approved the capital budget amendment in September 2016. Gritters outlined the project description and cost estimates.

In response to a question from Regent Sviggum, Interim Vice President Berthelsen explained that non-construction costs vary by project, noting that such costs tend to be smaller for HEAPR projects than for full building renovations. He noted that the difference in non-construction costs between the Health Sciences Education Center and Pioneer were due to the scale of the project, including the demolition of two buildings and additional laboratory and simulation space included in the project plan for the Health Sciences Education Center. Gritters added that the center's intensive specialized equipment drives costs up as compared to bedrooms in Pioneer.

In response to a question from Regent Anderson, Berthelsen confirmed that the schematic design moves the dining more to the south and center part of the building, taking up most of the southern courtyard.

Regent Rosha asked about the status of a potential tunnel. Berthelsen reported that University Services created a preliminary design for the tunnel and estimates the total cost at \$5.5 million. Given the cost, the administration does not recommend adding the tunnel. Berthelsen noted that Pioneer connects to Frontier via tunnel.

Rosha reiterated a number of concerns regarding the project. He noted that while he does not object to the specific schematic design, he continues to be against the project as it is not a fundamental need for the University right now.

In response to questions from Anderson, Berthelsen commented that while pricing decisions are not final, it is assumed that the increased price given the cost of the project will be spread across all students living in residence halls. He explained that two residence halls currently carry a small premium price, so adding a premium fee to Pioneer after the renovation could be considered. McLaughlin reported that the Centennial Hall dining hall would close when the expanded Pioneer dining hall opens, which will reduce operating costs.

Student Representative Kian wondered about the feasibility of an above-ground connection between Pioneer and Frontier Halls, perhaps even a temporarily connection in the winter. Gritters responded that a temporary connection is a possibility. Berthelsen explained that an above-ground connection was eliminated because it would take away green space within the Superblock.

Regent Johnson commented that while heated tunnels are nice, students could put on a coat to obtain a meal, especially when they already have to walk outside even farther to class.

A motion was made and seconded, and the committee voted five to one to recommend approval of the schematic design for the Pioneer Hall renovation and consolidated Superblock dining. Rosha voted no.

**SCHEMATIC DESIGN: SCIENCE AND ENGINEERING ROBOTICS
LABORATORIES RENOVATION - TWIN CITIES CAMPUS**

Regent McMillan invited Bruce Gritters, Director of Project Delivery, and Mos Kaveh, Associate Dean of the College of Science and Engineering, to present for review and action the schematic design for the Science and Engineering Robotics Laboratories renovation (project), as detailed in the docket.

Gritters identified the location of the project. Kaveh outlined the project rationale, explaining that it will provide needed expansion space of roughly 13,570 square feet in Shepherd Labs for robotics research, collaboration space for students, faculty and staff, and work on the college's solar vehicle project and autonomous vehicle research. Gritters outlined the cost estimate, funding sources, anticipated completion date, and estimated difference in annual operating costs, and reviewed the floor plans. He added that a combination of MnDRIVE funds and \$10 million in private gifts are funding the majority of the project.

In response to a question from McMillan, Kaveh stated that the University has secured the full \$10 million in private gifts.

Regent Rosha asked about the process for determining whether to renovate or demolish a building, and how that process influences the University's planning process. Berthelsen responded that the University considers a building's continued usefulness and whether it would be better to decommission and demolish the building. He noted that the Physics and Nanotechnology Building and renovation of Tate Hall influenced the outcome and design for the renovation of space here.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the schematic design for the Science and Engineering Robotics Laboratories renovation.

RISK MANAGEMENT IN THE ACQUISITION OF REAL ESTATE

Regent McMillan announced that due to time constraints, the discussion of risk management in the acquisition of real estate will move to a future meeting.

CONSENT REPORT

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

- Affirmation of Final Scope for Intercollegiate Athletes Village - Twin Cities campus

In response to a question from Regent Rosha, Berthelsen explained that every project has a contingency fund. If it goes unspent, projects previously identified as potential additions are added. Given the positive progress on the construction of Athletes Village and being past the point of potential unknown risks with the initial construction, he expressed comfort in spending some of the contingency on skyway connections. Rick Johnson, director of special projects, reported that the contingency is 15 percent of the total project or approximately \$18.7 million. He added that the higher number is based on the size of the project and the need to construct three new buildings.

Rosha offered that he views the addition of the skyway connections positively. He asserted that in December the Board was told resources were insufficient to fund both the skyways and lineman's facility, and highlighted the inconsistency of that information given the cost of recent coaching transitions. Rosha stated that he would not question the decision to forgo a lineman's facility now, but would seek accountability to achieve the success that is being pursued.

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

INFORMATION ITEMS

Interim Vice President Berthelsen referred the committee to the information items in the docket:

- Final Project Review: Intercollegiate Athletics Track and Field Facility and Relocated Recreation Wellness Facilities - Twin Cities campus
- Final Project Review: AHC Renovation and Relocation Program - Twin Cities campus

The meeting adjourned at 12:15 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Faculty & Staff Affairs Committee
May 11, 2017**

A meeting of the Faculty & Staff Affairs Committee of the Board of Regents was held on Thursday, May 11, 2017 at 10:15 a.m. in the East Committee Room, 600 McNamara Alumni Center.

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

Staff present: President Eric Kaler; Chancellors Michelle Behr, Lendley Black, and Stephen Lehmkuhle; Executive Vice President and Provost Karen Hanson; Vice Presidents Katrice Albert and Kathryn Brown; and Executive Director Brian Steeves.

Student Representatives present: Phillip Guebert and Lauren Mitchell.

**BOARD OF REGENTS POLICY: *RESERVATION AND DELEGATION OF AUTHORITY*
(APPOINTMENT AUTHORITY)**

Regent Simmons referred the committee to proposed appointment authority changes to Board of Regents Policy: *Reservation and Delegation of Authority*, as detailed in the docket. She added that the policy is now before the committee for action after being reviewed at the December and February meetings. A motion was made and seconded to adopt the policy amendments.

Regent Hsu expressed his satisfaction with the addition of Head Football Coach and Head Men's Basketball Coach to the list of positions that require Board approval and noted his concern about the added paragraph regarding positions that are not subject to Board approval. Simmons explained that the paragraph is intended to clarify that there is no financial threshold for approval of personnel decisions.

Regent Beeson shared his discomfort with the addition of coaches. He explained that although there is high public interest in those hires, the Board does not add value to such decisions.

Regent Cohen reported that she feels torn, but will support the amended language. She explained that her preference would be to not list coaches in the policy, but understands the impact of the two coach positions listed.

President Kaler reported that the amended language is a compromise that reflects his current practice of consultation with Board members around high-profile coaching hires.

The committee voted 5-1 to recommend adoption of the policy amendments. Regent Beeson voted no.

MUTAL OBLIGATIONS OF TENURE

Regent Simmons invited Executive Vice President and Provost Hanson and C. Daniel Frisbie, Distinguished McKnight University Professor and Department Head, Chemical Engineering and

Materials Science, College of Science and Engineering, to present on the mutual obligations of tenure, as detailed in the docket.

Hanson provided a brief history of tenure at the University and nationally. She explained the importance of tenure to the land-grant mission of the University and to all research universities. Frisbie added that tenure affords faculty the authority, empowerment, and responsibility to be successful scholars and teachers.

In response to a question from Regent Powell, Hanson reported that although removal of tenure is rare, there mechanisms in place to do so.

In response to a question from Regent Cohen, Hanson explained that early-career faculty receive annual reviews that include discussion of the decision to pursue tenure. Frisbie added that those conversations are important to guide faculty toward or away from pursuing tenure.

Regent Omari asked how the authority awarded to tenured faculty can ensure inclusivity in the classroom. Frisbie explained that faculty have the responsibility to be aware of differences and must treat all students fairly.

Student Representative Mitchell inquired about sanctions, other than removal, that exist when a faculty member may have mistreated a graduate student. Hanson reported that students have the responsibility to report any mistreatment. Frisbie added that graduate students have multiple support resources including the department head, the department's director of graduate studies, and central University resources.

Kaler reiterated the value of the department chair's role in leading and coaching faculty in the decision to pursue tenure.

Regent Beeson noted that talent acquisition is also important to this discussion. Simmons added that tenure is an incentive that department chairs can use to attract and recruit talent.

In response to a question from Powell, Hanson explained that most faculty are hired pre-tenure, adding that it is rare that the University would hire a tenured professor from another University.

PROMOTION AND TENURE: CONTEXT; POLICY AND PROCESS; RATIONALE AND ROLE OF TENURE IN HIGHER ED; AND POST TENURE REVIEW

Regent Simmons invited Executive Vice President and Provost Hanson and Rebecca Ropers-Huilman, Vice Provost for Faculty & Academic Affairs, to present the annual recommendations for promotion and tenure, as detailed in the docket.

Hanson reviewed the basic principles of tenure and promotion and the review process. She also explained the differences between regular faculty and contract faculty. Ropers-Huilman noted that 134 regular faculty were recommended for tenure and/or promotion, and 40 contract faculty recommended for promotion. This year's cohort had a success rate of 60 percent.

Motions were made and seconded, and the committee voted unanimously to recommend approval of the annual promotion and tenure recommendations of regular faculty, and the annual promotion recommendations of contract faculty.

Hanson introduced four newly tenured and/or promoted faculty members and the professors briefly shared highlights of their work:

- Associate Professor Rafael Fernandes; School of Physics and Astronomy, College of Science and Engineering, UMTC
- Associate Professor Michelle Johnson-Jennings; Pharmacy Practice & Pharmaceutical Sciences, College of Pharmacy, UMTC
- Associate Professor Francis Shen; Law School, UMTC
- Associate Professor Tetyana Shippee; Health Policy & Management, School of Public Health, UMTC

ANNUAL CONTINUOUS APPOINTMENTS

Regent Simmons invited Executive Vice President and Provost Hanson and Rebecca Ropers-Huilman, Vice Provost for Faculty & Academic Affairs, to present the annual continuous appointment recommendations, as detailed in the docket.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the annual continuous appointments.

CONSENT REPORT

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

- Appointment of Mary Holz-Clause as UMC Chancellor.
- Appointment of Carol Strohecker as Dean of the College of Design, UMTC.
- Appointment of Laura Bloomberg as Dean of the Hubert H. Humphrey School of Public Affairs, UMTC, for a two-year term.
- Appointment of Brian Buhr, Ron Olson, and Jenny Verner to the Minnesota Landscape Arboretum Foundation Board of Trustees.
- Amendments to the employment agreement of Richard Pitino, Head Men's Basketball Coach.
- Conferral of Tenure for four outside hires.

At the request of Regent Omari, the appointment of Laura Bloomberg was taken on separate action. The committee voted 5-0 to recommend the appointment. Regent Omari abstained.

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

INFORMATION ITEMS

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

The meeting adjourned at 12:12 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Audit & Compliance Committee
May 11, 2017**

A meeting of the Audit & Compliance Committee of the Board of Regents was held on Thursday, May 11, 2017, at 1:15 p.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Peggy Lucas, presiding; Richard Beeson, Michael Hsu, Peggy Lucas, Kendall Powell, and Patricia Simmons.

Staff present: Senior Vice President Brian Burnett; Vice President Katrice Albert; Interim Vice President Bernard Gulachek; Executive Director Brian Steeves; Associate Vice President Michael Volna; and Chief Auditor Gail Klatt.

Student Representatives present: Connor Klemenhagen and Tareyn Stomberg.

INFORMATION TECHNOLOGY AUDIT OUTCOMES AND COST OF COMPLIANCE

Regent Lucas invited Interim Vice President Gulachek and Brian Dahlin, Chief Information Security Officer, to present on information technology audit outcomes and cost of compliance, as detailed in the docket.

Gulachek and Dahlin defined information technology (IT) compliance as the legal and regulatory-driven requirements related to IT systems, processes, and resources. Gulachek provided an overview of direct and indirect costs of IT compliance and explained that cost drivers are not tied to the legal or regulatory requirements but are imbedded in IT operations.

Dahlin reported that the University underwent a third-party information security assessment in 2015. It showed that although the results were positive and in line with higher education peers, the University needs to work to increase IT compliance.

In response to a question from Regent Hsu, Dahlin explained ongoing efforts to keep pace with ever-changing compliance regulations. He added that continued evaluation of those efforts is critical.

Regent Beeson inquired about external reviews and internal audits of information security. Dahlin reminded the committee about the 2015 external review. He explained that internal audits examine information security and IT compliance. Beeson commented that compliance procedures often become best practice. Gulachek added that those best practices often become normal business practice.

In response to questions from Hsu, Dahlin explained that the University is working to address the issue of former employees having access to their email accounts and stored emails post-employment. He noted that the focus has been on the areas of greatest risk such as the Academic Health Center, where employees have access to HIPPA-protected data. Dahlin reported that the recent phishing incident affected the Google network globally. The University worked with Google to resolve and there was minimal damage.

**REVIEW OF EXTERNAL AUDITOR RELATIONSHIPS &
SERVICES PROVIDED**

Regent Lucas invited Sue Paulson, Interim Controller, to present the external auditor review and summary of external auditor relationships and services provided, as detailed in the docket.

Paulson reported that total Deloitte & Touche LLP (Deloitte) contracted audit and non-audit fees were \$2,382,812 for FY 2016 engagements, with actual fees of \$2,396,540. All FY 2016 engagements are completed and have been final billed.

Paulson reviewed the total fees for audit and non-audit services provided by other firms. The University engaged two firms for a totaling \$2,502,360 for FY 2016. She reminded the committee that all services were reviewed by the Controller's Office and reported to the committee.

In response to a question from Regent Hsu, Paulson explained that actual fees paid sometimes were lower than the contract amount for routine engagements repeated year over year. The University has been able to find efficiencies in communication and reporting to Deloitte.

EXTERNAL AUDIT PLAN

Regent Lucas invited Associate Vice President Michael Volna along with Katherine Knudtson and Judi Dockendorf from Deloitte & Touche LLP (Deloitte) to review the external audit plan for FY 2017, as detailed in the docket.

Volna reminded the committee that the FY 2017 external audit will be the first under the new four-year contract with Deloitte. Knudtson and Dockendorf reviewed highlights of the plan, noting that the scope of services, testing approach, and timelines for the FY 2017 audits are consistent with previous years.

In response to a question from Regent Simmons, Knudtson explained that Deloitte has expertise in many industries, and Deloitte higher education professionals from audit and consulting speak regularly about topics and current trends in higher education.

Regent Powell asked why investments were selected as an area of focus for the audit. Knudtson explained that the University has a great deal of alternative investments that are more difficult to value than traditional traded securities and bonds. She noted that this is common in higher education.

In response to comments from Regent Beeson, Knudtson explained that Deloitte reviews audits of financial statements for investments in the University's portfolio. She added that the firm that conducted the audit as well as the date it was conducted add to the report's credibility.

In response to a question from Simmons, Chief Auditor Klatt informed the committee that the University will undergo a National Science Foundation audit. The audit will provide insight on the focus of regulators.

COMPLIANCE RISK ASSESSMENT INITIATIVES

Regent Lucas invited Boyd Kumher, Chief Compliance Officer, to outline compliance risk assessment initiatives, as detailed in the docket.

Kumher shared eight elements of an effective compliance program and reported that he is working to better align the University's Office of Institutional Compliance with those elements. He added that compliance in higher education has become increasingly important and complex over the last decade.

Kumher explained that this work replaces the long-standing, reactive process of self-reporting and identifies and prioritizes risks proactively. He added that proactive identification of risks allows mitigation, audit, and evaluation before compliance problems arise.

In response to a question from Regent Beeson, Kumher explained that the upcoming National Science Foundation (NSF) audit will be a review of business transactions with recommendations for how research funds are handled and spent. Klatt added that the NSF audit is a financial compliance audit with no review of research.

Regent Powell inquired about the University's risk profile. Klatt reported the University does not have a formal enterprise risk assessment process. Regent Beeson shared that an enterprise risk profile was created in 2014. Klatt added that the 2014 risk profile does not reflect current risk concerns and she will recommend that the committee consider this topic for the 2017-18 work plan. Powell agreed with Klatt's recommendation.

Regent Hsu asked about the effectiveness of the UReport compliance reporting hotline. Kumher explained that the UReport system receives about 120-140 reports per year and is a well-known resource across the University. He added that about 60 percent of reports are human resources related, which is typical of compliance hotlines, and explained that having a hotline is a best practice. Kumher clarified that reports are referred to other offices for investigation.

UPDATE ON REMEDIATION OF INTERCOLLEGIATE ATHLETICS AUDIT FINDINGS

Regent Lucas invited Associate Vice President Michael Volna and Mark Coyle, Director of Intercollegiate Athletics, to provide an update on remediation of Intercollegiate Athletics audit findings, as detailed in the docket.

Volna referred the committee to a scorecard in the docket outlining progress made on each of nine priorities from the work plan developed by the financial oversight group. He explained that the status of three recommendations was changed since the last update to the committee in December because of testing and discussions with Internal Audit. Three items previously reported as "complete" have been reclassified – two to "partially complete" and one to "not complete." Volna reported that the financial oversight group continues to meet and make progress on the audit recommendations.

Coyle reported that he is nearing his one-year anniversary at the University and that remediation of the findings continues to be a priority for him and his department.

INFORMATION ITEMS

Chief Auditor Klatt referred the committee to the information items contained in the docket, which include a report of an engagement less than \$100,000 requiring after-the-fact reporting.

The meeting adjourned at 2:34 p.m.

A handwritten signature in black ink that reads "Brian R. Steeves". The signature is written in a cursive style with a large initial "B".

BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Governance & Policy Committee
May 11, 2017**

A meeting of the Governance & Policy Committee of the Board of Regents was held on Thursday, May 11, 2017 at 1:15 p.m. in the East Committee Room, 600 McNamara Alumni Center.

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

Staff present: Chancellors Michelle Behr and Lendley Black; Interim Chancellor Barbara Keinath; Executive Vice President and Provost Karen Hanson; Senior Vice President Brian Burnett; Vice President Kathryn Brown; and Executive Director Brian Steeves.

Student Representatives present: Lauren Mitchell

**BOARD OF REGENTS POLICY: RESERVATION AND
DELEGATION OF AUTHORITY (BOARD AUTHORITY)**

Regent Cohen invited Jason Langworthy, Board Associate, Policy & Committees, Office of the Board of Regents, to present for action proposed amendments to Board of Regents Policy: *Reservation and Delegation of Authority*, as detailed in the docket.

Langworthy reviewed the proposed amendments and explained that no changes were made since the committee reviewed them in December. He reminded the committee that with the approval of the amendments, Board of Regents Policy: *Board Authority* would be repealed.

Regent Rosha expressed concern that the language contained in subdivision one of *Board Authority* and being added to subdivision four of *Reservation and Delegation of Authority* was not specific enough, creating the potential for the Board to delegate too much authority to individual members or committees. He advocated for a narrower provision that would make it clear that any authority delegated to individual members or committees is restricted. Regent McMillan asked Rosha if he was proposing a new subdivision or seeking to clarify the current language. Rosha responded that he is fine with the current language, but asked the Board Office to develop more restrictive language for future consideration.

Regent Anderson questioned whether the language in subdivision four allows a subset of the Board to vote or act on behalf of the Board. McMillan responded that it would depend on the Board's charge to that subset. Anderson noted that in his view, the proposed language does not delegate any authority.

Cohen summarized that the committee is supportive of the current language with the direction to the Board Office to draft revised language for future consideration that would narrow the authority that could be granted.

A motion was made and seconded, and the committee voted unanimously to recommend adoption of the proposed amendments to Board of Regents Policy: *Reservation and Delegation of Authority* and repeal of Board of Regents Policy: *Board Authority*.

BOARD OF REGENTS POLICY: BOARD POLICY DEVELOPMENT

Regent Cohen invited Jason Langworthy, Board Associate, Policy & Committees, Office of the Board of Regents, to present for action proposed amendments to Board of Regents Policy: *Board Policy Development*, as detailed in the docket.

Langworthy reviewed the proposed amendments. He explained that in response to the committee's feedback from December, the language was revised to clearly state the Board's expectation that the administration will make certain that other University policies are in alignment with Board policy. The alignment review language was clarified to ensure a regular, ongoing review, and the reporting requirement and sampling language were removed. Langworthy suggested that the Board or this committee could ask for an update from the administration at any time.

Regent Rosha praised Langworthy's work between review and action to ensure full and appropriate consideration of Regent input.

A motion was made and seconded, and the committee voted unanimously to recommend adoption of the proposed amendments to Board of Regents Policy: *Board Policy Development*.

BOARD OPERATIONS: BOARD MEETING FORMAT AND COMMITTEES

Regent Cohen invited Executive Director Steeves to discuss the Board's meeting format and committee structure, as detailed in the docket.

Steeves explained that this conversation continues the comprehensive review of Board of Regents Policy: *Board Operations and Agenda Guidelines* by focusing on how the Board operates now and wishes to operate in the future. He outlined changing paradigms impacting the work of higher education boards and noted the Board's interest in having the full Board consider a broader number of topics.

Steeves reviewed the current committee and meeting structure. He detailed a possible new structure and its potential benefits, including greater information symmetry, closer alignment with University administrative structure, support for reaching consensus, and fuller discussions driven by all 12 Regents meeting together more often.

Regent McMillan expressed his support for the proposed structure. He offered his belief that the Board can and must continue to improve how it does its work and how members of the Board collaborate with each other. McMillan agreed that the new structure would align with the direction and changes that President Kaler has made to his administrative organizational chart and reporting structure.

In response to questions from Regents Anderson and McMillan, Steeves explained that the Board would still need to take final action on committee recommendations made on Thursday, even if certain committees included all 12 Regents. Unless the Board delegated full authority for committees of 12 Regents to take action, committee recommendations would still come to the full Board on Friday for action via condensed committee reports. Steeves noted that adjustments are sometimes made to action items between Thursday and Friday that cause Regents to change their votes, and suggested that the gap between the two meetings was helpful for that reason. Anderson indicated his support for a gap between committee approval on Thursday and Board approval on Friday.

Regent Rosha voiced his support for the proposed structure, viewing it as a potential solution to the Board meeting less frequently than it had in the past. He noted that the structure could provide increased efficiency to the Board's meetings. He highlighted the opportunity for the full

Board to have more conversations, a part of the structure that he viewed as being highly valuable.

Regent Sviggum indicated his interest in the proposed structure. He wondered if the Board should consider reducing the total number of meetings from eight to seven to ensure the Board is not overburdening the administration and being effective with its time.

The committee discussed the total number of meetings, with members speaking for and against a possible reduction in meeting frequency. Committee members discussed recent history leading to the current number of meetings; voiced concern that the Board should never be viewed as an impediment to the administration; questioned whether some of the program highlights presented by the administration could be reduced in favor of policy discussions, and in turn reducing the overall meeting time; the need to balance agendas between educational, fiduciary, and governance topics; and how the Board's meeting schedule compares with peer institutions. Cohen recommended to the committee that this topic is one to consider with the rest of the Board.

Student Representative Mitchell encouraged the committee to consult with the student representatives on how the proposed structure would affect them. Cohen responded that it was her belief that the student representatives would continue as an essential part of the proposed structure.

Cohen summarized the committee's discussion as generally positive toward the proposed structure, noting in particular that it addresses concerns by some Regents around not having enough information on the annual operating budget before voting.

**DISCUSSION OF BOARD OF REGENTS POLICY:
RESPONSIBILITIES OF THE BOARD AND INDIVIDUAL REGENTS**

Regent Cohen invited Executive Director Steeves to lead a discussion of Board of Regents Policy: *Responsibilities of the Board and Individual Regents*, as detailed in the docket.

Steeves explained that the policy was identified for comprehensive review in this year's Board policy work plan. He added that if the committee offered input on the policy that yielded potential changes, those amendments would be presented at a future meeting for review.

The committee discussed the current policy, including: that any code of conduct could be interpreted differently by individuals; whether criticizing the University could be viewed as hurting the institution; the need for Regents to be critical in the short-term to ensure long-term improvement; the importance of the means used to communicate critical feedback to the administration; the difficulty in having responsibilities stated in policy with no mechanism or committee to enforce them; the potential danger an ethics committee could pose in stifling dissent; that Robert's Rules of Order already contains a member discipline process; and the need to continue to build engagement among Regents.

The meeting adjourned at 2:16 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Academic & Student Affairs Committee
May 11, 2017**

A meeting of the Academic & Student Affairs Committee of the Board of Regents was held on Thursday, May 11, 2017 at 3:00 p.m. in the East Committee Room, 600 McNamara Alumni Center.

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

Staff present: Chancellor Stephen Lehmkuhle; Executive Vice President and Provost Karen Hanson; Vice President Katrice Albert; and Executive Director Brian Steeves.

Student Representatives present: Phillip Guebert and Mina Kian.

GRADUATE EDUCATION UPDATE

Regent Cohen invited Executive Vice President and Provost Hanson and Scott Lanyon, Vice Provost & Dean of Graduate Education, to present the graduate education update, as detailed in the docket.

Hanson explained the distinction between graduate and professional education, noting that graduate education is rooted in research while professional education is applied and often leads to credentials or licensure in some fields. Lanyon explained that professional students are consumers of knowledge while graduate students create knowledge through their research.

Lanyon walked through the status of graduate education at the University. He outlined three strategic priorities: diversity, advising, and professional development opportunities. Lanyon reported that approximately half of graduate school graduates pursue careers outside of academia, and the focus on professional development opportunities is critical to their success.

Lanyon invited Dustin Chernick, a fourth-year Ph.D. candidate in pharmacology, to present on his research to the committee. His research is related to Alzheimer's disease and the impact of existing treatments for high cholesterol.

In response to questions from Regent Simmons, Lanyon agreed that students living in the Twin Cities when they begin their graduate studies may originally be from greater Minnesota. Simmons asked how frequently international students stay in the United States after graduation. Lanyon responded that it varies by discipline and country of origin. He added that 25 percent of graduate students are international, which creates an important element of diversity.

In response to a question from Student Representative Guebert, Lanyon explained that job placement for graduate students varies by program. He noted that among the 167 graduate programs, some have nearly 100 percent placement after graduation.

Regent Lucas expressed surprise that the University ranks sixth in the nation in granting Ph.D.s and asked how the University ranks in the Big Ten. Lanyon reported that the University

ranks third, noting that the University is ranked so high because it is comprehensive, offering graduate degrees in so many disciplines.

Simmons asked how many students are enrolled in combination graduate and professional programs. Lanyon did not know, but offered that collaborations for dual degree programs exist across the University.

PRINCIPLES THAT GUIDE ENROLLMENT STRATEGIES IN THE UNIVERSITY'S PROFESSIONAL SCHOOLS

Regent Cohen invited Henning Schroeder, Special Assistant to the Provost for Professional Education, to present the principles that guide enrollment strategies in the University's professional schools.

Schroeder reported that of the 18,000 post-baccalaureate students at the University, 11,000 are enrolled in professional degree programs at the Duluth, Rochester, and Twin Cities campuses. Because professional programs are closely linked to career preparation, each campus employs a unique recruitment strategy. He added that admissions and enrollment are managed at the collegiate or departmental level.

Schroeder invited leadership from five professional programs to share a brief overview of admissions and enrollment, student demographics, tuition, financial aid, and student debt:

- Massoud Amin, Director, Technological Leadership Institute, College of Science and Engineering
- Laura Bloomberg, Associate Dean, Humphrey School of Public Affairs
- Garry Jenkins, Dean, Law School
- Naty Lopez, Assistant Dean of Admissions and Diversity, School of Dentistry
- Christine Mueller, Associate Dean for Academic Programs, School of Nursing

In response to a question from Regent Lucas, Lopez explained that applicants to the School of Dentistry can self-identify as financially disadvantaged. Applicants must also write a brief statement to describe their individual situation.

In response to a question from Regent Simmons, Jenkins explained that the opportunity to complete a dual degree is an advantage in recruiting. He added that the Law School partners with many other colleges across the University to offer dual degrees.

Regent Rosha expressed his satisfaction with the Humphrey School's recent jump in the national rankings. Bloomberg responded that the success of Humphrey School's alumni network is integral to the success of the school and future students.

Rosha asked if the Law School's yield rate has dropped because of increasing tuition. Jenkins reported that nationally, law school applications have significantly declined over the last five years and it has proved to be a challenging time for law schools. He added that tuition is increasing across the country, and that other law schools have been able to provide higher amounts of aid to students. Jenkins suggested that law students do not consider sticker price as much as they do financial aid awards.

In response to a question from Cohen, Student Representative Guebert – a current student in the Law School – explained that students apply to law schools regardless of the sticker price, understanding that they will be offered scholarships to defray those costs.

Lucas asked if the recent \$25 million gift to the Law School will have an impact on the profile of its applicants. Jenkins explained that the gift funds the Binger Center for New Americans with a focus on immigration, refugee rights, and asylum. He added that it will draw students with an interest in studying law in those fields.

CONSENT REPORT

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

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

- Medical School (Twin Cities campus)—Create residency in Interventional Radiology Independent
- College of Education and Human Development (Twin Cities campus)—Create a M.Ed. degree in Physical Activity and Health and deliver the degree partially online
- College of Veterinary Medicine (Twin Cities campus)—Create post-baccalaureate certificate in Veterinary Medical Education and deliver the program online
- Humphrey School of Public Affairs (Twin Cities campus)—Create undergraduate certificate in Election Administration and deliver online
- College of Education and Human Development (Twin Cities campus)—Create undergraduate minor in Family and Community Engagement
- College of Education and Human Development (Twin Cities campus)—Create undergraduate minor in Family Financial Studies
- College of Education and Human Development (Twin Cities campus)—Create undergraduate minor in Family Therapy
- College of Education and Human Development (Twin Cities campus)—Create undergraduate minor in Racial Justice in Urban Schooling
- College of Education and Human Service Professions (Duluth campus)—Create B.A. degree in Education Studies
- The Crookston campus—Create an undergraduate certificate in Agricultural Business and deliver online

- **Request for Changes to Academic Programs**

- Academic Health Center (Twin Cities campus)—Create sub-plans in Clinical Informatics, Data Science and Informatics for Learning Health Systems, Translational Bioinformatics, and Precision and Personalized Medicine Informatics within the Ph.D. degree in Health Informatics
- College of Education and Human Development (Twin Cities campus)—Create sub-plans in Foundations of Education and Individualized Studies within the B.S. degree in Early Childhood
- College of Food, Agricultural, and Natural Resource Sciences (Twin Cities campus)—Move the academic home of the Wildlife Ecology and Management sub-plan to the Conservation Sciences program
- Office of Undergraduate Education (Twin Cities campus)—Move the academic home of the undergraduate minor in Leadership from The College of Education and Human Development and the Humphrey School of Public Affairs to Undergraduate Education
- College of Education and Human Development (Twin Cities campus)—Change the name of the M.A. degree in Applied Developmental Psychology to Applied Child and Adolescent Development
- College of Food, Agricultural, and Natural Resource Sciences (Twin Cities campus)—Change the name of sub-plan in Fisheries to Fisheries and Aquatic Sciences within the Fisheries, Wildlife, and Conservation Biology B.S.

- School of Nursing (Twin Cities campus)—Change the name of the post-baccalaureate certificate in Pediatric Nurse Practitioner to Pediatric Primary Care Nurse Practitioner
 - School of Nursing (Twin Cities campus)—Change the name of the post-baccalaureate certificate in Adult Health/Gerontological Nurse Practitioner to Adult/Gerontological Primary Care Nurse Practitioner
 - School of Nursing (Twin Cities campus)—Change the name of sub-plans in Adult Health/Gerontological Nurse Practitioner and Pediatric Nurse Practitioner to Adult/Gerontological Primary Care Nurse Practitioner and Pediatric Primary Care Nurse Practitioner within the Doctor of Nursing Practice degree
 - College of Liberal Arts (Duluth campus)—Create sub-plans in Medical Arts and Science and Individualized Plan within the B.A. degree in Interdisciplinary Studies
- **Request for Approval of Discontinued Academic Programs**
- College of Liberal Arts (Twin Cities campus)—Discontinue the undergraduate minor in Danish
 - College of Liberal Arts (Duluth campus)—Discontinue the graduate minor in Criminology

The meeting adjourned at 4:46 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Finance Committee
May 11, 2017**

A meeting of the Finance Committee of the Board of Regents was held on Thursday, May 11, 2017 at 3:00 p.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Richard Beeson, presiding; Michael Hsu, David McMillan, Abdul Omari, Kendall Powell, and Steven Sviggum.

Staff present: President Eric Kaler; Chancellors Michelle Behr and Lendley Black; Interim Chancellor Barbara Keinath; Senior Vice President Brian Burnett; Interim Vice President Bernard Gulachek; Executive Director Brian Steeves; Chief Auditor Gail Klatt; and Associate Vice Presidents Stuart Mason, Julie Tonneson, and Michael Volna.

Student Representatives present: Tareyn Stomberg.

TWIN CITIES ATHLETICS: FINANCIAL MODEL

Regent Beeson invited Senior Vice President Burnett and Mark Coyle, Director of Intercollegiate Athletics, to discuss the financial model used by the Department of Intercollegiate Athletics on the Twin Cities campus (Athletics), as detailed in the docket.

Coyle outlined the guiding principles and core values of Athletics. He summarized the current Athletics budget in comparison to the University's Big Ten peers for fiscal years 2016 and 2017. He noted that the decrease in revenue between the two years was due to no longer receiving rental income from the Minnesota Vikings. Adjusting for that, Coyle reported that the Athletics budget was roughly flat.

Burnett summarized the FY 2017 operating budget, outlining its major expenses and revenues. He noted that some areas are within the control of Athletics, but other areas are not, such as Big Ten and NCAA revenue distributions and reimbursements for the cost of student athlete tuition.

Coyle outlined the assumptions used by Athletics to build its long-term financial plan. He explained that the three major revenue sports – football, men's basketball, and men's hockey – provide much of the revenue needed to support the other 22 sports offered by Athletics. Coyle emphasized the need to ensure that the revenue-generating sports have the resources needed to remain competitive and continue to sustain the other teams. Burnett added that Athletics is also making the long-term assumption that support from the University will continue, including the Title IX funding from the State of Minnesota that is now rolled into the University's total O&M allocation.

Burnett reviewed the history of the University's central allocation to Athletics, including the Title IX allocation, and how changes to the system-wide budget model in 2007 affected the amount transferred to and from Athletics. He shared the current transfer amounts.

Beeson asked how the University's central allocation to Athletics compares to other schools in the Big Ten. Burnett reported that the central allocation was not unusual within the Big Ten. He noted that those institutions that are able to return revenue to the academic mission have football programs that generate significant revenue and often do not have the number and breadth of other sports that the University does. He explained that some institutions do not charge their athletic departments for the full overhead cost or cost of tuition for student athletes. He advocated that the current cost pool structure shows to the Board and public what is being paid to and by Athletics.

Coyle added that regardless of university-specific arrangements, all Big Ten athletic departments need to focus on key revenue sources, including ticket sales, fundraising, the Big Ten and NCAA revenue distribution, licensing, and multimedia rights. He noted that of those revenue streams, ticket sales and fundraising are under the direct control of Athletics, with the other sources determined by long-term agreements. He stressed that by selling more tickets and expanding donations, Athletics can help ensure increased revenue and support for the department.

In response to a question from Regent Hsu, Burnett clarified that the \$3.7 million noted as additional University support to Athletics is added to the total Athletics budget. He explained that those additional funds support debt service for the boathouse, among other items. He explained that the amount of the additional support is decreasing as the debt service is paid. Burnett noted that the \$3.7 million is a University expense and not a part of the Athletics operating budget.

Regent Sviggum wondered how the development and success of the three revenue sports affects the development of the other sports. He asked about the impact of events of the past year on fundraising. Coyle responded that he was not aware of any major drop-offs in giving. He noted that this past year, both football and men's basketball had winning Big Ten conference records for the first time in 52 years. He emphasized his pride in the competitive nature of the full Athletics program, highlighting the recent success of softball, women's track and field, women's soccer, and women's hockey. Coyle stressed the long-term assumption that Athletics will have 25 competitive teams, but emphasized the need for the three revenue sports to perform at a high level in order to bring in the revenue needed to sustain and build on the success of those other teams. Sviggum responded that athletics success often drives fundraising for the entire institution, offering an example from the University of Notre Dame.

Beeson asked for an update on fundraising for Athletes Village and the amount of debt that will be issued to pay for the project. Burnett reported that the University does not have an estimate but will seek to issue as little debt as possible. He explained that the University will need to issue some debt, most likely commercial paper, to cover the timing of pledged donations. He added that the new football head coach has been helpful in recent donor meetings and in moving fundraising forward. Coyle reported continued success securing donations and that the fundraising total is roughly \$102 million.

In response to Hsu, Burnett specified that the total project cost without the track and field is \$166 million. Hsu asked for the total project cost when including the track and field, including the total debt service cost. Burnett responded that the debt service amount cannot be determined until the project and fundraising are complete, but offered that the total project cost will be approximately \$184 million, which includes \$17 million for the track and field.

Beeson suggested other needs for Athletics facilities, including the field house and a future renovation of the Gibson-Nagurski Football Complex. Coyle agreed and added that Athletics is mindful of the facilities investigation by the federal Office for Civil Rights and the need to keep a reserve to address any potential findings.

ROLE OF CENTRAL RESERVES FUND

Regent Beeson invited Associate Vice President Volna and Associate Vice President Tonneson to lead a discussion of the role of the central reserves fund (fund), as detailed in the docket.

Volna provided an overview of Board of Regents Policy: *Central Reserves Fund*. He noted the source for, and purpose of, the fund. He explained the fund's budgeting parameters and the required size of the reserves. Tonneson offered that the fund was near the total size as required by policy before the great recession, but dropped significantly during the recession. She explained that it is now starting to grow again.

Tonneson summarized the fund's reporting requirements to the Board and referred the committee to the annual update contained in the docket. She outlined the fund within the annual operating budget, noting that the timing of revenue and allocation transfers often affects the fund total. Tonneson identified the fund's resources and uses. She also described the policy's oversight mechanisms, noting that it is a separate part of the general ledger and overseen by the chief financial officer.

Regent Hsu shared his understanding that the fund was created in response to the Minnesota Legislature, which questioned whether the University had enough reserves and how those reserves were used. He recalled additional concern by the Board about spending related to Eastcliff and furniture purchases. Hsu referenced the Board's minutes from that time and observed that the fund was used for projects that needed additional funding on a case-by-case basis. He noted that the practice now is to adopt a full budget for the fund as a part of the annual operating budget.

Hsu wondered if the fund is allocated beyond what is budgeted or used for other purposes. Tonneson responded that some allocations included in the fund budget are estimates. She explained that the other area of the fund budget that may be different is the \$1 million allocation to the general contingency fund. She defined this part of the fund as a way to pay for unexpected expenses, noting that any general contingency spending is reported to the committee and any allocation above \$250,000 requires Board approval. Tonneson added that when revenue flows in above projections, that revenue offsets previously budgeted expenses or is held for future use, but is not allocated for new expenditures without Board approval.

Burnett commented that the fund is a transparent way for the Board to view a non-state-funded discretionary revenue stream. He offered that the fund has not grown in proportion to the operating budget. Burnett argued that the fund builds trust and recommended that the committee reaffirm its principles and use. He recommended keeping the fund as a flexible tool since most of the University's reserves are held by individual units.

Hsu recalled that the policy was created in part to consolidate all of the University's reserves but that no mechanism exists to monitor where the funds are being used. He offered his view that the transparency issues that necessitated the fund's creation have been addressed and that the fund has worked well for nearly 30 years. Hsu suggested that the Board look at making the fund more useful and also increase its size. He wondered about the actual size of the University's reserve, noting that he does not feel comfortable talking about how large a reserve the University needs without knowing what the current reserve is.

Regent Powell asked how the great recession affected the fund. He noted that while the size of the fund feels correct, he is unsure how much the University has in total reserves and how much should be held centrally versus at the unit level. Tonneson explained that the smaller fund size after the great recession was due mostly to decreased revenue going into the fund. She clarified that the University calculates the size of the reserve after making budgeted allocations and receiving revenue. Tonneson explained that institutional reserves are distributed across units and contained in the temporary investment pool (TIP). Units

periodically report on how they are using their reserves, and the total TIP balance is roughly \$1 billion. She offered that while units might identify some of their TIP funds as restricted, central administration could use those balances in a fiscal emergency.

President Kaler noted that while units may have a plan to use those TIP funds for new hires or building investments, they can defer those projects and use the funds to address a sudden decrease in revenue. He recommended that the Board keep the fund as a transparent way to monitor how those funds are allocated. He asked that the Board direct the administration to amend parts of the policy to increase efficiency, including the requirement that legal settlements already obligated to units must first be deposited to the fund.

Beeson responded that he believes the Board likes to see legal settlements deposited into the fund because that gives the Board a level of transparency to monitor the distribution. He noted his desire to approve the large distributions. Beeson added that credit agencies include the TIP balance as a part of assets to determine the University's credit rating. Burnett observed that the University enjoys the credit level it has due to the level of reserves it maintains. He stated that the University is in the middle of the Big Ten for reserves and has maintained a conservative debt strategy.

In response to Hsu, Tonneson clarified that while the total size of TIP is known, the specific uses identified by the units are not. She offered that every two to three years, units are asked to identify how they have categorized those funds. Burnett added that because units change their hiring plans and need to flex how reserve dollars are used, it is impossible to forecast comprehensively the use of the funds. Kaler noted that units are encouraged to use TIP funds for one-time expenses. Hsu shared his concern that some colleges have few reserves left.

CONSENT REPORT

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

General Contingency:

- There were 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 \$1,005,000 to provide services to support overseas study abroad programs for the UMD International Programs and Services' Study Abroad Office for Fiscal Year 2018. The program fees cover the costs of the academic program and the administrative costs for the UMD Study Abroad office. See docket for basis of vendor selection.
- To Central Roofing Company, and Inspec, Inc. for an estimated \$625,000 for providing roof maintenance inspection and repair for the Facilities Management Department for the period of June 1, 2017, through May 31, 2019, with possible contract extensions through May 31, 2021, for an additional \$608,000. Total contract value, if all options are exercised, would be \$1,233,000. Roof inspection and maintenance is budgeted by a variety of organizations on the Twin Cities campus through their facilities budget. Vendors were selected through a competitive process.
- To Delta Dental Plan of Minnesota (DDP) for an estimated \$772,000 for administrative services for self-funded Dental benefits provided to Twin Cities, Duluth, Crookston,

Morris and Rochester students for Boynton Health Service for the period of September 1, 2017, through August 31, 2019, with possible contract extensions through August 31, 2023, for an additional \$1,728,000. Total contract value, if all options are exercised, would be \$2,500,000. The program has adequate reserves to meet all obligations for the next two years of self-funding and provide the same level of coverage to students for the upcoming year. The cost of the plan is borne entirely by students purchasing the plan. Vendor was selected through a competitive process.

- To First Transit Group for an estimated \$23,650,000 for intercampus transit services for the University of Minnesota Twin Cities campus for the period of July 1, 2017, through June 30, 2021, with possible contract extensions through June 30, 2025, for an additional \$27,500,000. Total contract value, if all options are exercised, would be \$51,150,000. The funds required for this contract will be paid for with Parking & Transportation Services funds and student transportation fees. Vendor was selected through a competitive process.
- To JEOL USA, Inc for \$1,507,700 for acquisition of a "Field Emission based Electron Microprobe (EPMA) with four (4) Wavelength Dispersive Spectrometers (WDS) and one Soft X-ray Spectrometer" for the Department of Earth Sciences. Acquisition of the electron microprobe is funded from the sponsored project, a National Science Foundation Major Research Instrumentation grant (EAR1625422) in addition to matching funds (mandatory to the NSF MIR program) provided by the Office of the Vice President for Research, the College of Science and Engineering, and the Department of Earth Sciences). Vendor was selected through a competitive process.

The committee discussed the First Transit Group purchase, including the University's ability to seek extension, the reduction in price, the number of University owned buses operated by First Transit, and the price per trip.

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

INFORMATION ITEMS

Senior Vice President Burnett referred the committee to the information items in the docket:

- Quarterly Purchasing Report
- Quarterly Asset Management Report
- Six-Month Management Report - Unaudited
- Quarterly Investment Advisory Committee Update

Associate Vice President Mason and Andrew Parks, Senior Director of Investment Strategy & Research, Office of Investments and Banking (OIB), provided additional detail on the quarterly asset management report and work by OIB to realign the asset management guidelines.

The meeting adjourned at 4:43 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Board of Regents
May 12, 2017**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, May 12, 2017 at 8:45 a.m. in the Boardroom, 600 McNamara Alumni Center.

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

Staff present: President Eric Kaler; Chancellors Lendley Black and Stephen Lehmkuhle; Executive Vice President and Provost Karen Hanson; Interim Chancellor Barbara Keinath; Senior Vice President Brian Burnett; Vice Presidents Katrice Albert, Kathy Brown, Brooks Jackson; Interim Vice Presidents Bernard Gulachek and Allen Levine; General Counsel Doug Peterson; Executive Director Brian Steeves; and Associate Vice Presidents Julie Tonneson and Michael Volna.

RECOGNITIONS

DISTINGUISHED MCKNIGHT UNIVERSITY PROFESSORS

The Distinguished McKnight University Professorship award honors and rewards the highest-achieving faculty at the University who recently attained full professor status. The 2017 recipients are:

- Stephanie M. Carlson, Professor, Institute of Child Development, College of Education & Human Development, Twin Cities
- Tianhong Cui, Professor, Mechanical Engineering, College of Science & Engineering, Twin Cities
- Reuben S. Harris, Professor, Biochemistry, Molecular Biology and Biophysics, College of Science & Engineering and Medical School, Twin Cities
- Monica Luciana, Professor, Psychology, College of Liberal Arts, Twin Cities
- Theresa M. Reineke, Professor, Chemistry, College of Science & Engineering, Twin Cities
- Loren Terveen, Professor, Computer Science and Engineering, College of Science & Engineering, Twin Cities

MCKNIGHT LAND-GRANT PROFESSORS

The McKnight-Land Grant Professorship honors assistant professors in the beginning stage of their professional careers who have the potential to make significant contributions to their departments and to their scholarly fields. The 2017-19 recipients are:

- Yaniv Brandvain, Assistant Professor, Plant and Microbial Biology, College of Science & Engineering, Twin Cities
- Sairaj V. Dhople, Benjamin Mayhugh Assistant Professor, Electrical and Computer Engineering, College of Science & Engineering, Twin Cities

- Cari Dutcher, Assistant Professor, Mechanical Engineering, College of Science & Engineering, Twin Cities
- Vivian E. Ferry, Assistant Professor, Chemical Engineering and Materials Science, College of Science & Engineering, Twin Cities
- Renee R. Frontiera, Assistant Professor, Chemistry, College of Science & Engineering, Twin Cities
- Bernadette T. Gillick, Assistant Professor, Physical Medicine and Rehabilitation, Medical School, Twin Cities
- Candice N. Hirsch, Assistant Professor, Agronomy and Plant Genetics, College of Food, Agricultural & Natural Resource Science, Twin Cities
- Robert B. Nichols, Assistant Professor, Political Science, College of Liberal Arts, Twin Cities
- Lana Yarosh, Assistant Professor, Computer Science and Engineering, College of Science & Engineering, Twin Cities

NATIONAL ACADEMY MEMBERS & OTHER MAJOR FACULTY AWARDS

The University actively promotes distinguished faculty for induction into national academies, typically the highest honor granted to faculty in their respective disciplines. The national academies recognized by the Board of Regents are the American Academy of Arts and Sciences, the Institute of Medicine, the National Academy of Engineering, the National Academy of Sciences, and the American Philosophical Society.

American Academy of Arts and Sciences

- Megan Gunnar, Regents Professor, Distinguished McKnight University Professor, Director, Institute of Child Development, College of Education & Human Development, Twin Cities
- Sarah Hobbie, Distinguished McKnight University Professor, Ecology, Evolution and Behavior, College of Biological Sciences, Twin Cities
- Marlene Zuk, Professor, Ecology, Evolution and Behavior, College of Biological Sciences, Twin Cities

National Academy of Sciences

- Frank Bates, Regents Professor, Department of Chemical Engineering and Materials Science, College of Science & Engineering, Twin Cities
- Maury Bramson, Professor, Mathematics, College of Science & Engineering, Twin Cities

Guggenheim Foundation Fellowship

- Susan D. Jones, Professor, Director, History of Science, Technology, and Medicine Program, College of Biological Sciences, Twin Cities
- Heidi Kitrosser, Professor, Law School, Twin Cities

ACADEMY OF DISTINGUISHED TEACHERS

Horace T. Morse-University of Minnesota Alumni Association Award for Outstanding Contributions to Undergraduate Education

This award recognizes faculty members and instructional academic professionals for excellence in contributing directly and indirectly to student learning through teaching, research, and creative activities; advising; academic program development; and educational leadership.

- Hangtae Cho, Senior Lecturer, Asian Languages and Literatures, College of Liberal Arts, Twin Cities

- Michelle D. Driessen, Distinguished University Professor, Chemistry, College of Science & Engineering, Twin Cities
- Robert L. Dunbar, Associate Professor, Center for Learning Innovation, Rochester
- Becca Gercken, Associate Professor, English and American Indian Studies, Division of the Humanities, Morris
- Gayle Golden, Senior Lecturer, School of Journalism and Mass Communication, College of Liberal Arts, Twin Cities
- Kurt F. Kipfmüller, Associate Professor, Geography, Environment, and Society, College of Liberal Arts, Twin Cities
- Tade O. Okediji, Associate Professor, Applied Economics, College of Food, Agricultural & Natural Resource Sciences, Twin Cities
- Daniel J. Phillipon, Associate Professor, English, College of Liberal Arts, Twin Cities
- Michael Sommers, Associate Professor, Theatre Arts and Dance, College of Liberal Arts, Twin Cities

Award for Outstanding Contributions to Graduate & Professional Education

This award recognizes faculty members for excellence in instruction; instructional program development; intellectual distinction; advising and mentoring; and involvement of students in research, scholarship, and professional development.

- Eray S. Aydil, Professor, Chemical Engineering and Materials Science, College of Science & Engineering, Twin Cities
- Jim Boulger, Professor, Biobehavioral Health and Population Sciences, Medical School, Duluth
- Mark L. Davison, Adjunct Professor, Educational Psychology, College of Education & Human Development, Twin Cities
- Susan Goodwin Gerberich, Professor, Division of Environmental Health Sciences, School of Public Health, Twin Cities
- Kathleen Krichbaum, Professor, Population Health Systems, School of Nursing, Twin Cities
- Kathryn Reyerson, Professor, History, College of Liberal Arts, Twin Cities
- Katherine West Scheil, Professor, English, College of Liberal Arts, Twin Cities
- Jeffrey A. Simpson, Professor, Psychology, College of Liberal Arts, Twin Cities
- Margaret A. Titus, Professor, Genetics, Cell Biology and Development, Medical School and College of Biological Sciences, Twin Cities

JOHN TATE AWARD FOR EXCELLENCE IN UNDERGRADUATE ADVISING

The John Tate Award for Excellence in Undergraduate Advising serves to recognize and reward high-quality academic advising. It calls attention to the contribution academic advising provides in helping students formulate and achieve intellectual, career, and personal goals. The 2017 recipients are:

- Rhonda R. Franklin, Professor, Department of Electrical and Computer Engineering, College of Science & Engineering, Twin Cities
- Chung-En (Anny) Lin, Senior Academic Advisor, Undergraduate Program, Carlson School of Management, Twin Cities
- Jennifer Jane Marshall, Associate Professor, Department of Art History, College of Liberal Arts, Twin Cities
- Megan Seltz, Senior Academic Advisor, Construction and Facility Management, Undergraduate Programs, College of Continuing Education, Twin Cities

OUTSTANDING COMMUNITY SERVICE AWARD

The Outstanding Community Service Award recognizes accomplishments of faculty, staff, students, and University-affiliated community members who have devoted their time and talent to make substantial, enduring contributions to the external community and to improve the well-being of society. The 2017 recipients are:

- Linus Chan, Teaching Specialist, James H. Binger Center for New Americans, Law School, Twin Cities
- Beth Fallon, Ph.D. Candidate, Department of Plant and Microbial Biology, College of Biological Sciences, Twin Cities
- Brian T. Sick, Associate Professor, Department of Medicine, Medical School, Twin Cities
- Lisa Thornquist, Research and Project Evaluation Coordinator, Hennepin County Office to End Homelessness

COMMUNITY-ENGAGED SCHOLAR AWARD

The President's and College-Wide Community-Engaged Scholar Awards recognize faculty and professional and administrative employees for exemplary engaged scholarship in their fields of inquiry. The 2016-17 recipients are:

President's Community Engaged Scholar

- George Weiblen, Distinguished McKnight Professor, Plant and Microbial Biology, College of Biological Sciences, Twin Cities

College-Wide Community Engaged Scholars

- Abimbola Asojo, Professor, Interior Design Program, College of Design, Twin Cities
- Jennifer McComas, Professor, Educational Psychology, College of Education & Human Development, Twin Cities
- Michelle Johnson-Jennings, Assistant Professor, Department of Pharmacy Practice and Pharmaceutical Sciences, College of Pharmacy, Duluth
- Kathryn Draeger, Director, Regional Sustainable Development Partnerships, Extension
- Kathy Quick, Associate Professor, Leadership and Management, Humphrey School of Public Affairs, Twin Cities
- Renee Sieving, Professor, Center for Adolescent Nursing, School of Nursing, Twin Cities
- Tetyana Shippee, Assistant Professor, Health Policy and Management, School of Public Health, Twin Cities

NATIONAL SCHOLARSHIP RECIPIENTS

Churchill Scholarship

The Winston Churchill Foundation of the United States was founded in 1959 to offer American students of exceptional ability and achievement in the sciences, engineering, and mathematics the opportunity to pursue graduate studies at Cambridge. Fourteen seniors from the top colleges and research universities in the U.S. are selected as Churchill Scholars each year.

- Anthony Tabet, Chemical Engineering, College of Science & Engineering, Twin Cities

Fulbright Award

In 1945, Senator J. William Fulbright introduced a bill in the United States Congress that called for the use of surplus war property to fund the “promotion of international good will through the exchange of students in the fields of education, culture, and science.” In 1946, President Harry S. Truman signed the bill into law, and Congress created the Fulbright Program, the flagship international educational exchange program sponsored by the U.S. Government. The Fulbright Program has fostered bilateral relationships in which citizens and governments of other countries work with the U.S. to set joint priorities and shape the program to meet shared needs.

- Talia Anderson, Geography and Spanish, College of Liberal Arts, Twin Cities
- Alexandra Johnson, American Indian Studies, College of Liberal Arts, Twin Cities

Goldwater Scholarship

Congress established the Barry M. Goldwater Scholarship and Excellence in Education Program in 1986. The prestigious scholarship is awarded to students who intend to pursue research-oriented careers in mathematics, the natural sciences, and engineering.

- Rahul Parhi, Mathematics and Computer Science, College of Science & Engineering, Twin Cities

Udall Scholarship

The Udall scholarship honors the legacies of Morris Udall and Stewart Udall, whose careers had a significant impact on Native American self-governance, health care, and the stewardship of public lands and natural resources.

- Tarlynn Tone-Pah-Hote, Biology, Morris

PRESIDENT’S AWARD FOR OUTSTANDING SERVICE

The President’s Award for Outstanding Service was established in 1997 to recognize active or retired faculty and staff who have gone beyond their regular duties and demonstrated an extraordinary commitment to the University community. The 2017 recipients are:

- Etty DeVeaux, Chief of Staff and Assistant to the Vice Provost and Dean of Graduate Education, The Graduate School, Twin Cities
- Molly Dingel, Associate Professor, Center for Learning Innovation, Rochester
- Mark Karon, Director, University Student Legal Service, Office for Student Affairs, Twin Cities
- Karen Miksch, Associate Professor and Coordinator, Higher Education and Law, Department of Organizational Leadership, Policy and Development, College of Education & Human Development, Twin Cities
- Susan Marie Pohlod, Executive Office and Administrative Specialist, Department of Applied Economics, College of Food, Agricultural & Natural Resource Sciences, Twin Cities
- Lester Potts, Grounds Superintendent, Landcare Central Services, Facilities Management, Twin Cities
- Kathryn Pouliot, Manager, Benefits Services, Office of Human Resources, Twin Cities
- Luis Ramos-Garcia, Associate Professor, Department of Spanish and Portuguese, College of Liberal Arts, Twin Cities

- Nikki Letawsky Shultz, Assistant Dean, Student Affairs and International Programs, College of Biological Sciences, Twin Cities
- Robert Stein, Everett Fraser Professor of Law, Law School, Twin Cities
- Bilin Tsai, Professor, Department of Chemistry and Biochemistry, Swenson College of Science & Engineering, Duluth

NCAA CHAMPIONS

Recognition was given to the following student-athlete for winning an NCAA championship during the 2016-17 academic year:

- Yu Zhou, Diving, Twin Cities – Wenbo Chen, Coach

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 Work Session – March 23, 2017

Board of Regents – March 24, 2017

REPORT OF THE PRESIDENT

President Kaler reported on spring commencements and shared statistics about this year's graduating classes. He acknowledged several awards won by students, staff and faculty, noting they reflect the University's contributions to the community. He announced a system-wide campaign called the President's Initiative to Prevent Sexual Misconduct. Its goals are to:

1. Develop and require training around sexual misconduct issues for all faculty and staff;
2. Enhance student education and engagement, especially beyond the first year;
3. Create a sustainable public health/public awareness campaign;
4. Establish a President's Committee to Prevent Sexual Misconduct; and
5. Develop metrics for evaluating sexual assault and misconduct prevention, education, and advocacy and awareness activities on campuses.

Kaler reported on recent legislative activity, noting that proposed funding is far below the University's initial request. He explained that decreased funding could lead to tuition increases, less support for research initiatives, and fewer contributions back to the state.

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

REPORT OF THE CHAIR

Chair Johnson congratulated the morning's award recipients and remarked on the many commencement ceremonies across the system. He announced the establishment of the Presidential Performance Review Committee, which will be tasked with evaluating the performance of the president. The committee will be chaired by Johnson and will include Regents McMillan and Simmons. Johnson also announced the establishment of the Nominating Committee, charged with recommending a slate of candidates to serve as Board officers. The committee will be chaired by Johnson and will include Regents Cohen and Sviggum.

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

CONSENT REPORT

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

- Summary of Gifts through March 31, 2017
- Report of the All-University Honors Committee
- Report of the Naming Committee

Regent Powell recused himself from action on the Consent Report, due to a potential conflict of interest related to a gift from General Mills. A motion was made and seconded, and the Board of Regents voted unanimously to approve the Consent Report.

SYSTEM-WIDE STRATEGIC PLAN

Chair Johnson invited Chancellor Stephen Lehmkuhle and Vice Provost Rebecca Ropers-Huilman to present the System-Wide Strategic Plan (plan) for review. Lehmkuhle reported on the planning process and reviewed the impact of the institution on the state. Ropers-Huilman provided an overview of the plan framework, including the University's mission and guiding principles, the purpose of the system, the action plan, and the system's strategic intentions. Lehmkuhle discussed building system capacity as a way to achieve these strategic intentions. He reviewed the work plan and next steps.

Regent Anderson remarked on the importance of academic pathways between campuses and the growth of online learning. He commented on the need to build community partnerships and noted Greater Minnesota interest in access to University resources and services. He suggested that while each campus has its own identity, there is great strength in the unity of the system.

Regent Rosha asked if the committee had sought input from the governor, legislative leaders, or other institutions. Ropers-Huilman replied that the committee met with the Commissioner of the Minnesota Office of Higher Education and leaders from the Minnesota Private College Council. The committee also surveyed statewide community leaders about perceptions of the University and expectations for the future. Rosha stressed the importance of understanding the needs of the state and establishing an open dialogue with the legislature.

Regent Lucas expressed hope that the plan could help bridge the gap between the state's urban and rural communities.

In response to questions from Regent McMillan regarding how the plan implements "system mindfulness" and specifically reflects the land grant mission, Lehmkuhle addressed a variety of ways the system council will work with the administration to determine its annual agenda and establish key priorities. The council will help develop a way to guide decision making from a system perspective. Lehmkuhle commented that colleges and research and outreach centers (ROCs) across the system can learn from those colleges and ROCs that offer examples of peak collaboration in support of the land grant mission.

Regent Powell agreed that communication is a critical element to building strength across the system. He suggested that the Board's responsibility is to oversee a strategic process that focuses on the most important issues and that best serves the people of the state. He remarked that a system approach is one method to achieving institutional goals, suggesting there could be greater attention on priorities for specific colleges and units, areas of research, and outreach efforts.

UPDATE ON 2018-19 BIENNIAL BUDGET REQUEST

Chair Johnson asked Senior Vice President Burnett and Vice President Kramer to provide an update on the University's biennial budget request. Burnett compared the request to proposals made by the governor, House, Senate, and conference committee. Kramer called attention to the conference committee proposal, highlighting a recovery from the Bell Museum appropriation due to the project being delivered under budget. He discussed several policy measures included in the omnibus bill, highlighting the mandatory prohibition on student fees not related to infrastructure, instruction, or health care. Kramer voiced concern about the prohibition, since the University would be responsible for the costs associated with student programs. Other policy measures include positioning tuition rates in the middle of the Big Ten, greater outreach and recruitment for the Twin Cities campus, and the absence of a tuition freeze requirement.

Burnett reviewed the projects included in the capital request and noted that a bonding bill is yet to be proposed. Kramer added that bonding is often the legislature's last consideration after other budget decisions have been finalized. He emphasized that the University will continue its efforts to garner support and resources until the end of session.

In response to a question from Regent Simmons, Burnett responded that the financial implications of the student fee prohibition could equal millions of dollars, if all programs are maintained across all campuses.

In response to a question from Regent Johnson, Burnett urged the Board to carefully consider exercising constitutional autonomy around policy issues. He suggested consulting with the general counsel before acting, since the University must continue to partner with the legislature beyond the current session.

Regent McMillan requested clarification about policy language related to tuition rates, wondering if it applied to resident or non-resident, non-reciprocity (NRNR) rates. Kramer clarified later in the meeting that the proposed positioning of tuition rates in the middle of the Big Ten would apply to both resident and NRNR tuition.

Regent Beeson stressed the Board's constitutional autonomy, expressing concern with the perceived practice of trading policy for dollars.

In response to a question from Regent Omari, Kramer acknowledged potential logistical challenges associated with a student fee prohibition. He agreed it would require changes to an established system and would likely necessitate additional infrastructure. Kramer reiterated his concern with the prohibition, noting that student fees support programs that contribute significantly to the overall student experience.

Regent Rosha applauded the work of the Government Relations team in building the University's relationship with the legislature, noting positive feedback from individual legislators. He suggested that the University's focus on the percentage of the request received might need to shift to how state dollars received by the University benefit legislators' constituents and support the needs of the state. He agreed with the need for caution in matters of constitutional autonomy and stressed the importance engaging in conversations versus openly defying perceived autonomy challenges. Rosha suggested that the Board have a discussion on student fees to show the legislature and others that it is sensitive to how fees affect students and their families.

Regent Sviggum observed that the current Board is different from the one that approved the current budget request. He clarified that he would not have voted for the request that was submitted to the legislature in the fall.

Regent Hsu voiced concern about the reclaimed funds from the Bell Museum project and asked if reductions would continue in future years. Burnett replied that additional reductions were possible if construction continues under budget. In response to a question from Hsu, Burnett commented that maintenance and repair of existing facilities take priority over new construction when funds are limited.

Kaler noted that the initial appropriation for the Bell Museum was to construct and equip the facility. He explained that though construction is on budget, the museum is still being equipped and could require additional funds. He stressed that the University continues to oppose the reclaiming of funds for the project.

**PRESIDENT'S RECOMMENDED FY 2018
ANNUAL CAPITAL IMPROVEMENT BUDGET**

Chair Johnson invited Senior Vice President Burnett and Interim Vice President Berthelsen to present for review the President's Recommended FY 2018 Annual Capital Improvement Budget (capital budget), as presented in the docket. Burnett reminded the Board that policy directs the administration to develop a capital budget with a six-year timeline and updated annually. He explained that approval of the budget allows individual projects with completed predesigns and financing plans to proceed with design and construction.

Berthelsen explained that the capital budget includes the University's full legislative request and will be updated in June to reflect the outcome of the 2017 legislative session. He reviewed the major components of the capital budget, including HEAPR, system-wide projects, and repair and replacement (R&R) pools. He noted several projects that may be added in June. Burnett explained that approximately 62 percent of the budget is state-supported debt from the University's 2017 capital request; the remaining 38 percent supports the University's share of the state bonding projects.

Regent Omari questioned the additional projects, given already limited resources, and asked how those projects would be funded. Berthelsen responded that funding would come from a variety of sources, such as donor contributions and debt service; no state money would be used. In response to a question from Omari, Kaler responded that a 2011 measure of the University's economic impact on the state was \$13.20 to every dollar. He remarked that an updated report is underway.

In response to a question from Regent Rosha, Berthelsen stated that the armory is included in the six-year capital plan and will be discussed in the 2020 capital request as a complete rebuild. He added that minor repairs and safety issues are being addressed in the meantime.

Regent Powell asked if the legislature is aware of the implications of HEAPR projects, such as safety issues, financial returns, and cost avoidance. He observed that most companies would consider this maintenance to be essential. Burnett responded that the University has clearly explained safety issues and cost-saving measures to the legislature. He agreed maintaining infrastructure is part of the cost of doing business and is unsure why there is resistance to these projects.

In response to several questions from Regent Hsu, Burnett noted that the University would have to carefully consider next steps if HEAPR funds are not fully allocated. He explained it could mean some projects are not completed.

**NEXT STEPS IN STRATEGIC EVOLUTION OF
AFFILIATED CLINICAL PRACTICE**

Chair Johnson invited Regent Simmons to report on the strategic evolution of the University's affiliated clinical partnership. Simmons reported that she and President Kaler had constructive discussions with leadership of both Fairview Health Services (FHS) and University of Minnesota Physicians (UMP). These conversations focused on common values and vision, a commitment to achieving shared goals, priorities and perspectives of the faculty, and alignment with the University's mission.

Kaler noted this is an opportunity for the University to position itself for success with FHS and its new CEO. He reported that FHS has listed its top strategic objective as realizing the strength of its partnership with the University. He offered that action at this meeting would help renew discussions with FHS and redefine the parties' shared goals. He noted that the administration is working to develop a more aligned agreement, while being clear about what is needed from FHS to achieve institutional goals. Kaler invited Vice President Brooks Jackson to participate in the discussion.

Regent Simmons moved to adopt the Resolution Related to Non-Renewal of the Master Integrated Structure Agreement. Regent McMillan seconded the motion.

Regent Beeson observed that improvements in the relationship with FHS have proven difficult and urged substantive change by September. If changes are not made by that time, he suggested the Board be prepared to exit the agreement completely.

Regent McMillan agreed and emphasized that the Board is serving notice of non-renewal despite being hopeful for a solution. He suggested the first sentence of the final paragraph of the resolution be changed from "the Board hereby endorses notice" to "the Board hereby authorizes and directs the administration to serve notice." Regent Simmons agreed to the language; there were no objections.

Regent Hsu asked about the relevance of the September date, since the Board is issuing its notice of non-renewal by the legally required deadline of June 1. General Counsel Doug Peterson remarked that the specific language has been discussed with FHS in the spirit of cooperation. The September date was chosen to allow appropriate time for negotiations but not let them continue indefinitely. Simmons added that the language signals a desire for collaboration while including a discussion end point.

In response to a question from Regent Powell, Peterson clarified that the University is legally required to issue notice one year before of the end of the initial five-year agreement. He remarked that there are both legal and practical implications to exiting the agreement. He stressed the importance of continuing reliable, quality service to patients and providers, noting that conversations about these logistics should be clear and forthright.

Regent Cohen shared that she is encouraged to learn that FHS has made its relationship with the University a top priority. She agreed that the language of the resolution should be diplomatic but also clear about the need for change.

Regent Simmons reminded the Board that the M Health agreement is one of many contracts between the University and FHS. She noted that regardless of the decision on this agreement, maintaining a positive relationship between the two parties is critical.

The Board of Regents voted unanimously to approve the Resolution Related to Non-Renewal of the Master Integrated Structure Agreement, as follows:

WHEREAS, the University of Minnesota (“University”), University of Minnesota Physicians (“UMPhysicians”), and Fairview Health Services (“Fairview”) entered into a Master Integrated Structure Agreement (MISA) “M Health” on June 1, 2013; and

WHEREAS, the agreement provides for an initial 5-year term, ending June 1, 2018, which automatically renews for an additional 5-year term unless a party provides written notice of intent not to renew at least 12 months prior to the end of the 5-year term; and

WHEREAS, while the agreement to date has been successful in many areas including growth of the practice plan, improved quality metrics, and enhanced brand recognition, the parties can benefit from further strategic planning before restructuring their relationship; and

WHEREAS, the University remains committed to the M Health partnership and expects efforts to work together with deliberate speed and joint strategic planning to plan the future of this partnership to result in additional support for the academic mission as well as opportunities for growth and success for the clinical practice; and

WHEREAS, the University, UMPhysicians and Fairview have begun strategic discussions about a re-negotiated agreement, but more work is planned by all concerned and the parties are not yet in a position to re-define the relationship for the years ahead;

NOW, THEREFORE, BE IT RESOLVED that with confidence that the University, UMPhysicians and Fairview will negotiate new terms to improve the outcomes of the M Health partnership, the Board of Regents (“Board”) hereby authorizes and directs the administration to serve notice of non-renewal pursuant to the terms of the MISA with the hope and expectation that this notice will be retracted in conjunction with a re-negotiated agreement. The Board calls upon Fairview to negotiate in earnest regarding new terms so that the University is in a position to commit by September 30, 2017 to a continuation of the M Health relationship beyond the current 5-year term. The Board anticipates formal consideration of a new agreement at its regular October 2017 meeting.

REPORT OF THE FACILITIES, PLANNING & OPERATIONS COMMITTEE

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

1. Approval of Schematic Design for Health Sciences Education Center, Twin Cities Campus.

A motion was made and seconded to approve the schematic design.

Regent Hsu inquired about the future of the project if the schematic design is approved but the capital request is not. McMillan responded that the existing budget includes funds to move personnel out of the VFW Cancer Research Center and Masonic Memorial Building; demolition and new construction will depend on the capital request. Berthelsen clarified that funds from a previous appropriation are available for the schematic design.

Regent Omari suggested if construction is delayed due to funding, the current design should be used to avoid losing time and money on the project.

The Board of Regents voted unanimously to approve the schematic design for the health sciences education center.

2. Approval of Schematic Design for Pioneer Hall Renovation and Consolidated Superblock Dining, Twin Cities Campus.

A motion was made and seconded to approve the schematic design.

Regent Rosha reminded that Board of his concern that this project is not a priority need, especially given its total cost. He acknowledged that the connections are a significant issue, given the number of students who live in the Superblock, but noted his skepticism about their proposed cost.

Regent Hsu agreed and observed that connections and tunnels are a common investment on the Twin Cities campus. He suggested the tunnels would be an important factor in recruitment efforts for non-resident students who are not used to a colder climate. He stated that he would not support the project in the absence of the tunnel connections.

Regent Beeson observed that funds have already been invested in this project and it would be foolish to not include a key element like a tunnel. He moved to amend the schematic design to include project costs for the tunnel. Regent Hsu seconded the motion.

In response to a question from Regent Johnson, Berthelsen reported that it would be physically possible to build a tunnel and that the cost is estimated at \$5.5 million.

The Board of Regents voted against the Beeson motion to include the tunnel in the schematic design.

The Board of Regents voted to approve the schematic design for the Pioneer Hall renovation and the Consolidated Superblock Dining facility.

3. Approval of Schematic design for Science and Engineering Robotics Laboratories Renovation, Twin Cities Campus.

A motion was made and seconded and the Board of Regents voted unanimously to approve the schematic design for the science and engineering robotics laboratories renovation.

4. Approval of the Consent Report for the Facilities, Planning & Operations Committee as presented to the committee and described in the May 11, 2017 committee minutes.

In response to a question from Regent Hsu, Berthelsen stated his belief that the design for Athletes Village would allow a linemen's building to be added at a later date. He agreed to confirm and report back to the Board.

A motion was made and seconded and the Board of Regents voted unanimously to approve the committee consent report.

McMillan reported that the committee also discussed the internet of things in University operations; received an update on University housing cost projections; and reviewed information items as outlined in the docket materials.

REPORT OF THE AUDIT & COMPLIANCE COMMITTEE

Regent Lucas, Acting Chair of the committee, reported that the committee discussed information technology audit outcomes and the cost of compliance; reviewed external auditor

relationships and services provided; discussed the external audit plan; received an update on remediation of intercollegiate athletics audit findings; and reviewed information items as outlined in the docket materials.

REPORT OF THE GOVERNANCE & POLICY COMMITTEE

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

1. Repeal of Board of Regents Policy: *Board Authority* and adoption of amendments to Board of Regents Policy: *Reservation and Delegation of Authority*, as follows:

ARTICLE I. RESERVATION OF AUTHORITY

SECTION I. GENERAL RESERVATIONS OF AUTHORITY.

Subd. 1. The Board of Regents reserves to itself all authority necessary to carry out its legal and fiduciary responsibilities under the University Charter, the Constitution of the State of Minnesota, and the Board of Regents (Board) Bylaws. This reservation specifically includes all authority to enact laws and policies for the governance of the University of Minnesota (University) and to issue Board directives to executive officers and employees. The Board's reserved authority shall be exercised consistent with the University Charter, the Constitution of the State of Minnesota, Board Bylaws, and relevant Board policies.

Subd. 2. The Board reserves to itself authority to ensure constitutional and institutional autonomy, to approve the University's mission and vision, to set the overall direction of the institution, including the adoption of fundamental plans for the educational, financial, and physical development of the University, and to declare a fiscal emergency.

Subd. 3. No authority that the Board reserves to itself in this policy shall be exercised by any other person or body unless expressly authorized by Board policy or directive.

Subd. 4. The authority of the Board resides only with the Board as a whole and not in its individual members, except as the Board itself may have delegated specific authority to one of its members or one of its committees.

Subd. 5. The Board reserves to itself authority to approve the use, and revocation of the use, of its corporate name or any abbreviated name, including *University of Minnesota*, by any non-University person or entity, consistent with Board policies. The Board also reserves authority over the removal of the corporate name or any abbreviated name from the name of any University campus, college, school, division, or unit, consistent with Board policies.

Subd. 6. The Board reserves to itself authority to approve any commercial transaction or matter not otherwise subject to Board approval if the transaction or matter:

- a) raises unusual questions of public interest or public policy;
- b) has a significant impact on the University's mission; or
- c) has a value greater than \$2 million.

SECTION II. CONDUCT OF BOARD BUSINESS.

The Board reserves to itself authority to establish procedures for the conduct of its

business, create committees, set its agenda, require reports from executive officers and employees, hear appeals, and enforce its code of ethics.

SECTION III. ELECTION OF BOARD OFFICERS.

The Board reserves to itself authority to elect and remove Board officers, including the president, chair, vice chair, secretary, and treasurer.

SECTION IV. APPOINTMENT AUTHORITY.

Subd. 1. The Board reserves to itself authority to appoint all individuals and approve any individually negotiated terms of employment for those who serve in each of the following positions:

- (a) Executive Vice President and Provost
- (b) Chancellor
- (c) Senior Vice President for Finance and Operations
- (d) Vice President
- (e) Provost
- (f) General Counsel
- (g) Librarian
- (h) Chief Auditor
- (i) Dean
- (j) Athletic Director, Twin Cities campus
- (k) Such other administrative positions as the Board may specify from time to time.

The president shall recommend individuals for appointment to these positions, consistent with Board policies and directives.

Subd. 2. The Board reserves to itself authority to remove University officers as provided in the University Charter. The president (a) may remove the general counsel with Board approval and (b) may remove any other individuals appointed under subd. 1 of this section, except the chief auditor.

Subd. 3. The Board reserves to itself authority to appoint members of the boards of University-associated foundations, institutes, committees, and other bodies, consistent with Board policies.

SECTION V. ACADEMIC MATTERS.

Subd. 1. The Board reserves to itself authority to grant academic degrees, grant faculty indefinite tenure, grant continuous appointments to academic professionals, and award the title faculty emeritus, consistent with Board policies.

Subd. 2. The Board reserves to itself authority to establish, name, and abolish colleges, academic institutes, programs, and courses of study, consistent with Board policies.

Subd. 3. The Board reserves to itself authority to establish tuition and student fees and approve policies and reciprocity agreements related to such matters, consistent with Board policies.

Subd. 4. The Board reserves to itself authority to: (a) establish and review policies relating to the conduct of research and the receipt and accounting of sponsored research funds; (b) require timely reporting to the Board of sponsored research activity; and (c) approve financial support greater than \$250,000 to non-University entities for the commercialization of technology, consistent with Board policies.

Subd. 5. The Board reserves to itself authority to approve educational policies and procedures, in consultation with the president and the faculty governance process, consistent with Board policies. This policy is not intended to alter the relationship between the Board, the University Senate, and the faculties regarding educational policies.

SECTION VI. AWARDS, HONORS, AND NAMINGS.

Subd. 1. The Board reserves to itself authority to establish and bestow awards, honors, and recognition, consistent with Board policies.

Subd. 2. The Board reserves to itself authority to name and revoke names of University buildings and other assets, consistent with Board policies.

SECTION VII. BUDGETARY, FINANCIAL, AND INVESTMENT MATTERS.

Subd. 1. The Board reserves to itself authority to approve the following: annual operating budgets; the central reserves budget and minimum reserve level; and adjustments and amendments, consistent with Board policies. The Board also reserves to itself authority to approve any modifications to the central reserves budget and any expenditures from the central reserves general contingency account, consistent with Board policies.

Subd. 2. The Board reserves to itself authority to approve all requests for operating and capital budget appropriations from the State of Minnesota and positive or negative adjustments to the budget caused by a 1% or more change in total appropriations within a fiscal year.

Subd. 3. The Board reserves to itself authority to establish investment objectives, approve asset allocation guidelines, and approve the payout rate for endowment distributions.

Subd. 4. The Board reserves to itself authority to authorize issuance and retirement of debt and to engage debt advisers and/or underwriters, consistent with Board policies.

Subd. 5. The Board reserves to itself authority to accept gifts for the benefit of the University, consistent with Board policies.

Subd. 6. The Board reserves to itself authority to approve individual purchases of goods and services with a value greater than \$1,000,000, consistent with Board policies.

SECTION VIII. PROPERTY, FACILITIES, AND CAPITAL BUDGETS.

Subd. 1. The Board reserves to itself authority to approve the purchase or sale of real property with a value greater than \$1,250,000 or larger than ten (10) acres, consistent with Board policies.

Subd. 2. The Board reserves to itself authority to approve leases of real property, easements, and other interests in real property if the initial term amount to be paid by or to the University exceeds \$1,250,000, consistent with Board policies.

Subd. 3. The Board reserves to itself authority to exercise the power of eminent domain to acquire land for University purposes.

Subd. 4. The Board reserves to itself authority to (a) exercise property owner rights regarding the designation, decommissioning, or demolition of historic resources; and (b) take final action on all environmental reviews of historic resources initiated by the administration for which the University is the responsible governmental unit, consistent with Board policies and applicable state and federal laws.

Subd. 5. The Board reserves to itself authority to approve campus master plans and amendments thereto.

Subd. 6. The Board reserves to itself authority to approve multi-year capital plans consisting of projects with a value greater than \$1,000,000.

Subd. 7. The Board reserves to itself authority to approve annual capital budgets consisting of projects with a value greater than \$500,000.

Subd. 8. The Board reserves to itself authority to approve capital budget amendments to approved projects and new projects when the amendment has a value greater than \$500,000.

Subd. 9. The Board reserves to itself authority to approve project schematic plans for (a) interior renovations with a value greater than \$5,000,000; (b) projects with a value greater than \$2,000,000 that have an exterior visual impact; (c) projects that vary from adopted campus master plans or that have a significant visual impact; and (d) projects noted during the annual review of the capital budget.

Subd. 10. The Board reserves to itself authority for a subsequent review of approved capital budget projects with a value greater than \$5,000,000 prior to the award of construction contracts.

SECTION IX. LEGAL MATTERS.

The Board reserves to itself, or to one of its committees, authority to direct the president or the general counsel to settle any legal claim or initiate or appeal a lawsuit or administrative proceeding, consistent with Board policies.

SECTION X. AUDIT FUNCTION.

The Board reserves to itself authority to adopt policies regulating the audit function; approve selection of external auditors and the chief auditor; and evaluate the performance of the independent auditor, and, jointly with the president, the performance of the internal audit function.

SECTION XI. EMPLOYMENT AND LABOR RELATIONS.

Subd. 1. The Board reserves to itself authority to approve all contracts and other agreements with the exclusive collective bargaining representatives of its employees.

Subd. 2. The Board reserves to itself authority to approve civil service rules and annual pay and benefit plans for University employees.

Subd. 3. The Board reserves to itself authority to establish or discontinue retirement plans for University faculty and staff. For those plans sponsored by the University and governed by formal plan documents, the Board reserves to itself authority to approve amendments to those plans that significantly affect the cost structure of the plans. An amendment is considered to significantly affect the cost structure of the plan if the change causes a cost impact of more than \$250,000.

Subd. 4. The Board reserves to itself authority to review individually negotiated employee severance agreements of unusual importance or significance.

SECTION XII. ASSOCIATED ORGANIZATIONS.

The Board reserves to itself authority to approve the legal structure and scope of any relationship between the University and any associated organization, non-profit corporation, foundation, institute, or similar entity that substantially relies upon University resources or personnel to carry out its mission.

ARTICLE II. DELEGATION OF AUTHORITY

SECTION I. DELEGATION OF AUTHORITY TO THE PRESIDENT.

The Board delegates to the president authority to act as chief executive officer of the University, with such general executive management and administrative authority over the University as is reasonable and necessary to carry out the policies and directives of the Board, subject to the limitations noted in Article II, Section II below.

SECTION II. LIMITATIONS UPON PRESIDENTIAL AUTHORITY.

The authority delegated to the president is limited by the following:

- (a) the provisions of the University Charter and the Constitution of the State of Minnesota;
- (b) the provisions of Board Bylaws;
- (c) the provisions of Board policies and directives, including specifically Article I of this policy; and
- (d) the directive that the president shall notify the Board of any matter not otherwise addressed in this section that significantly involves the authority and role of the Board, including its fiduciary, oversight, and public accountability responsibilities.

SECTION III. DELEGATION OF AUTHORITY BY THE PRESIDENT.

Subd. 1. Unless otherwise restricted by specific Board policies or directives, the president shall be responsible for delegating general executive management and administrative authority to other executive officers and employees as necessary and prudent, including authority to execute contracts and other legal documents. The president may condition, limit, or revoke any presidential authority so delegated.

Subd. 2. All delegations and revocations under this section shall be in writing, name the position to whom such authority is delegated, describe the scope and limitations of such authority, and prescribe the extent to which such authority may be further sub-delegated.

Subd. 3. All delegations and revocations under this section shall be reviewed as to form, legality, and consistency by the general counsel.

Subd. 4. Annually, the president shall report to the Board significant changes to the delegations.

SECTION IV. DELEGATION OF AUTHORITY TO THE CHAIR AND VICE CHAIR.

The chair and vice chair of the Board shall have such authority as is authorized by Board Bylaws and policies and is customarily exercised by such officers of a

corporation. The chair shall have authority to execute any and all instruments and documents on behalf of the Board.

SECTION V. DELEGATION OF AUTHORITY TO THE BOARD SECRETARY, TREASURER, GENERAL COUNSEL, AND CHIEF AUDITOR.

The secretary, treasurer, general counsel, and chief auditor shall have authority to perform such duties for the Board as provided by Board Bylaws, policies, and directives. The secretary shall have authority to execute such instruments and documents that would customarily devolve upon a corporate officer and are usual to that office. The secretary and the general counsel shall have authority to accept legal service on behalf of the University.

SECTION VI. CONFORMANCE WITH THIS POLICY.

Subd. 1. Any request or demand by a Board member for action must be consistent with the written policies, rules, and regulations of the Board and the University.

Subd. 2. No executive officer or employee of the University shall have any authority to take any action or make any representation on behalf of the University beyond the scope of, or materially inconsistent with, the authority delegated to such executive officer or employee as provided in this policy.

Subd. 3. The secretary and the general counsel each shall have the duty to inform the Board of any existing or proposed Board policy or directive that is inconsistent with or alters the delegations of authority as provided in this policy.

SUPERSEDES: General Delegations Adopted October 17, 1980, Last Amended October 10, 1997.

2. Adoption of amendments to Board of Regents Policy: *Board Policy Development*, as follows:

SECTION I. SCOPE.

This policy defines policies of the Board of Regents (Board), distinguishes them from other University of Minnesota (University) policies, and describes the process through which Board policies are developed, adopted, and maintained.

SECTION II. POLICY TYPES.

Subd. 1. Board Policies. Board policies generally deal with the University as a whole, establishing fundamental principles as a basis and guide for later action. Board policies are intended to be enduring rather than responses to a particular issue. Procedures are occasionally part of Board policies when such procedures bring clarity to the nature of the principle. More often, procedures are developed and refined administratively. The Board adopts Board policies and all substantive amendments.

Subd. 2. Other University Policies. Other University policies are needed to administer the University and its various units in accordance with state and federal legislation, reasonable administrative practice, and Board policy. While these policies may contain basic principles, they generally include procedures for managing the institution. The scope of other University policies varies. Generally, other University policies are developed, approved, implemented, and modified according to administrative policy. When unusual circumstances suggest the advisability of Board ratification of other University policies, changes to such policies shall be submitted to the Board for action.

University policies that have been reviewed and acted upon by the Board are noted in Board minutes.

SECTION III. CONFLICTS WITH OTHER UNIVERSITY POLICIES.

The president or delegate shall ensure that all other University policies are in alignment with Board policy. If other University policies conflict with Board policy, Board policy takes precedence.

SECTION IV. CORRECTIONS.

The executive director and corporate secretary, with consent of the Board chair, may make corrections to Board policies that do not alter the substance of the policy.

SECTION V. FORMAT.

Policies presented to the Board for consideration and adoption as Board policy shall include the following:

- (1) principles to guide subsequent action at the University;
- (2) text written in declarative statements; and
- (3) a distinctive format and page design (to be determined by the Board Office) that includes a history of the policy and any amendments.

SECTION VI. REVIEW.

Subd. 1. Comprehensive Review. Board policies shall be comprehensively reviewed every six years. The objective of the comprehensive review is to determine:

- whether the fundamental principles established in the policy still align with the strategic direction and mission of the University;
- if the policy is still needed; and
- if the policy aligns with current practice.

The comprehensive review process shall be developed and executed by the Board Office in alignment with Board of Regents Policy: *Board Operations and Agenda Guidelines*. For each Board policy, a senior leader liaison shall be identified. The Board Office shall include the results of the annual comprehensive review as a component of the annual Board of Regents Policy Report.

Subd. 2. Amendments to Board Policy. The Board may amend Board policies outside of the comprehensive review process in accordance with Board of Regents Policy: *Board Operations and Agenda Guidelines*.

Subd. 3. General Counsel Review. The Office of the General Counsel shall review all policies for consistent form and legality prior to adoption or amendment by the Board.

Subd. 4. Alignment Review. The president or delegate shall regularly review other University policies for alignment with Board policy.

SUPERSEDES: Regents' Policies Statement dated February 8, 1974; and Authority to Correct Policies dated July 8, 1983.

The Board of Regents voted unanimously to approve the recommendations of the Governance & Policy Committee.

Cohen reported that the committee also reviewed board operations related to Board meeting format and committees; and discussed Board of Regents Policy: *Responsibilities of the Board and Individual Regents*.

REPORT OF THE ACADEMIC & STUDENT AFFAIRS COMMITTEE

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

1. Approval of the Consent Report for the Academic & Student Affairs Committee as presented to the committee and described in the May 11, 2017 minutes.

The Board of Regents voted unanimously to approve the recommendation of the Academic & Student Affairs Committee.

Cohen reported that the committee also received an update on graduate education; and discussed principles that guide enrollment strategies in the University's professional schools.

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 May 11, 2017 minutes.

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

Beeson reported that the committee also reviewed the financial model for Twin Cities athletics; discussed the role of the central reserves fund; 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 to recommend:

1. Adoption of amendments to the Board of Regents Policy: *Reservation and Delegation of Authority*.

A motion was made and seconded to adopt the proposed policy amendments.

Regent Beeson opposed the motion. He noted that the changes could create a troubling dynamic between the Board and certain coaches, and potentially undermine the authority of the athletics director and University administration.

Regent Rosha raised concern that including only two coaches for men's sports represents a Title IX concern. He suggested the Board has the authority to approve contracts past a certain financial threshold and might handle coach contracts that way with lower risk. Rosha moved to amend the proposed policy to remove from Article I, Section IV, Subds. 1(g) and 1(h) and revise the final sentence of Article I, Section IV, Subd. 1 to read: *The appointment of University employees not listed in Article I, Section IV, Subd. 1 shall be subject to the*

reservations and limitations set forth in Article I, Section I, Subd. 5 of this policy. Regent Hsu seconded the motion.

Regent Simmons offered that the committee intentionally did not want to link approval of salary to a specific dollar threshold, since the market is constantly in flux. She suggested that the factor in authority should be impact on the institution.

Regent Powell moved to table the issue until the June meeting of the full Board. Regent Lucas seconded. Chair Johnson asked Executive Director and Corporate Secretary Steeves to gather information on how peer institutions handle similar policy matters. At the suggestion of Regent McMillan, Powell agreed to amend his motion to the July meeting due to time constraints in June. Lucas agreed to the change.

Johnson clarified that discussion of the policy amendments would return to the full Board and not pass through a committee.

The Board of Regents voted 11-1 to table discussion on Board of Regents Policy: *Reservation and Delegation of Authority* to a meeting of the full Board in July 2017. Regent Simmons voted no.

2. Approval of the Promotion and Tenure Recommendations for Regular Faculty.

A motion was made and seconded and the Board of Regents voted unanimously to approve promotion and tenure recommendations for regular faculty.

3. Approval of the Promotion Recommendations for Contract Faculty.

A motion was made and seconded and the Board of Regents voted unanimously to approve promotion recommendations for contract faculty.

4. Approval of the Annual Continuous Appointment and Promotion Recommendations.

A motion was made and seconded and the Board of Regents voted unanimously to approve annual continuous appointment and promotion recommendations.

5. Approval of the Consent Report for the Faculty & Staff Affairs Committee as presented to the committee and described in the May 11, 2017 minutes.

Regent Sviggum noted the absence of an open search for the Dean of the Humphrey School of Public Affairs. He expressed confidence in Laura Bloomberg's qualifications, but noted his preference for conducting a formal search immediately rather than waiting two years.

A motion was made and seconded and the Board of Regents voted unanimously to approve the consent report.

Simmons reported that the committee also discussed the mutual obligations of tenure, and reviewed information items as outlined in the docket materials.

**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 by the attorney-client privilege, 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 and 13D.05 Subd. 3(b), the remainder of this Board of Regents meeting will be non-public for the purpose of discussing attorney-client privileged matters related to confidential University personnel matters involving pending proceedings and the potential for litigation. The Board voted unanimously to adopt the resolution and the public portion of the meeting ended at 12:28 p.m.

The meeting adjourned at 1:43 p.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Nominating Committee
May 2017**

A meeting of the Nominating Committee of the Board of Regents was called to order on Friday, May 19, 2017 at 9:00 a.m. in the Board Office, 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding. Linda Cohen and Steven Sviggum participated by phone.

Staff present: Executive Director Brian Steeves

The committee discussed the process to be used for nomination of Board leadership.

The meeting recessed at 9:30 a.m.

The Nominating Committee reconvened on Tuesday, May 23, 2017 at 11:30 a.m. in the Board Office, 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding. Linda Cohen and Steven Sviggum participated by phone.

Staff present: Executive Director Brian Steeves

The committee reviewed nominations and determined next steps.

The meeting recessed at 12:01 p.m.


The Nominating Committee reconvened on Friday, May 26, 2017 at 10:03 a.m. in the Board Office, 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding by video conference. Linda Cohen and Steven Sviggum.

Staff present: Executive Director Brian Steeves

The committee interviewed candidates for Board leadership positions and voted to recommend a slate of officers for the 2017-19 term.

The meeting adjourned at 12:01 p.m.


BRIAN R. STEEVES
Executive Director
and Corporate Secretary



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

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

June 9, 2017

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

June 9, 2017

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. Report of the Academic Professionals & Administrators Consultative Committee
- B. Report of the Civil Service Consultative Committee
- C. Quarterly Report of Grant and Contract Activity

2016-17 ANNUAL REPORT OF THE ACADEMIC & ADMINISTRATIVE PROFESSIONAL'S (P&A) SENATE

At the University of Minnesota (University), the P&A Senate is an elected body of 80 senators and alternates representing a constituency of over 5,000 P&As in 19 job families throughout the University. The P&A Senate meets monthly and at other special times during the year to conduct its business. A chair, elected from the membership, serves as the senate's lead officer. The P&A Consultative Committee (PACC) and four standing committees (Benefits and Compensation; Communications; Outreach; Professional Development and Recognition) assist the senate in carrying out its work.

Our shared governance role is guided by the 1966 Statement on Government of Colleges and Universities which recognizes that "the variety and complexity of tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students and others," and this relationship calls for meaningful collaboration and adequate communication among those components.

Recognizing that the P&A Senate's voice is valid only to the extent to which it is truly representative of the constituency, the primary work of the P&A Senate leadership this year has been to build better communications channels with P&As across the system, other University governance bodies, and with central administration. Also recognizing that the value of the P&A Senate is in this unique consultative process that brings the voice of over 30% of the University's employees to the deliberations of the University, we have concentrated efforts on getting the P&A ear and voice to the University's deliberations and decision-making tables.

The 2016-17 work plan was primarily informed by the following factors:

- Issues identified in the July 2016 meeting of all past chairs of the P&A Senate;
- A survey to P&As across the system to better understand concerns and needs;
- Outcomes of discussion at the annual August (2016) P&A Senate Retreat; and
- Implementation of a Maintenance of Status Quo, due to faculty unionization efforts.

For the 2016-17 year, we identified the following priorities. This is not an exhaustive list but instead intended to provide the Board a highlight view of work on our charge to be responsive to current and emerging needs of P&As, and the University community.

1. **Campus Climate**

Many universities, including the University of Minnesota, are wrestling with how to build a campus climate that reflects the ideals and values we espouse as we confront challenging and difficult issues of bias, bigotry, racism, and intolerance. Our October 2016 senate agenda was dedicated to a dialogue on campus climate and helping to create a universal campus – where all are, and feel, welcomed, honored, and respected. This was a timely conversation with Vice President for Equity and Diversity Katrice Albert, held one day after the student protest at the Campus Conversations meeting hosted by President Kaler.

Other presenters at the October meeting included Ann Freeman of the Bias Response & Referral Network; Nubia Esparza, coordinator of diversity initiatives in the Law School; and Stef Wilenchek, director of the Gender and Sexuality Center for Queer and Trans Life. Our campus climate work will continue throughout the upcoming year, and beyond.

2. Wellness and Wellbeing: Conversations and strategies to advance the principle that better health and wellness equals greater engagement

The December 2016 meeting on Wellness and Wellbeing generated a room capacity attendance. Dr. MaryJo Kreitzer, director of the Center for Spirituality and Healing delivered a presentation on “Cultivating Wellbeing in Our Lives, Organizations and Communities.” Senators and the many non-senators who attended also got an update on wellness programs and initiatives, and participated in a robust discussion on wellness at the University, facilitated by Laura Manydeeds, wellness program administrator, Office of Human Resources.

3. Campus Safety

In February 2017 the senate welcomed University leaders in campus safety. Michele Gross, director of the Policy Office, focused her keynote on Board of Regents aspirational policies around campus safety and expected behaviors for community members. Chief of Police Matt Clark addressed the role of campus community in campus safety, and Kendra Okposo, associate to the director, Office of Equal Opportunity reviewed and took the senate’s input on the then forthcoming policy on sexual misconduct.

4. Employee Engagement and Financial Wellness for P&As, including mechanisms to secure funding specific interests like increasing P&A bankable vacation allowance, and staff development and retention in an environment of increasingly limited financial resources.

Vice President Kathy Brown and director of Total Compensation Ken Horstman, Office of Human Resources, were the guest speakers at the April 2017 P&A Senate meeting. They responded to questions and concerns from senators and constituents, specifically around wages, the Job Family Study, the Regents Scholarship, parental leave, and vacation accrual. Vice President Brown also provided an update on the faculty unionization effort. At this meeting, senators also passed a resolution on parental leave equity, calling for six weeks of paid leave for all new parents.

5. Recognitions and Awards

Our May meeting is traditionally dedicated to honoring outstanding contributions of P&A employees across the University system. The P&A Senate Outstanding Unit Award was presented to the Law School Career Center, with an honorable award mention to the West Central Research and Outreach Center (WCROC) in the College of Food, Agricultural and Natural Resource Sciences. The four P&A recipients of the President’s Award for Outstanding Service were also recognized. The meeting also included a presentation by Marissa Hill-Dongre, director of the new Immigration Response Team, a discussion to address constituent concerns and want of strategies and tips to support students and faculty impacted by President Trump’s Executive order on immigration and travel, as well as related general uncertainty.

In addition to the work of the senate of the whole, the following highlights the more prominent activities of the P&A Consultative Committee (PACC) during the 2016-17 governance year.

- Provided input on content and language on various proposed policies and policy changes such as the sexual misconduct policy; recommendations for and feedback on administrative initiatives and issues (system-wide strategic plan, faculty unionization effort, implementation of salary and procedural changes in order to comply with the Federal Labor Standards Act).
- Opined and offered comment on a number of issues brought by other governance groups and administrative units (Aramark contract renewal, University Wellness Program, Public Health’s “Share the Air” Campaign, University’s Conflict Resolution process, IT priorities for the immediate future, etc.); and offered comments, amendments and support to various resolutions (Council of Graduate Students’ Resolution on Parental Leave; endorsed resolution from the Equity, Access, and Diversity Committee on the privacy of students’ FERPA-protected counseling records in the event of litigation against the University; consulted on and endorsed a resolution from the Social Concerns Committee on requiring education around equal opportunity and Title IX for all staff and faculty).
- Responded to well over 100 concerns about the outcome and impact of the University’s Job Family Study, opening doors for better communications and opportunities to address lingering concerns and diminishing morale among staff. To further address concerns, the chair and chair-elect of the P&A and Civil Service Senates met with P&As and Civil Service staff in Duluth and Rochester, as well as with Rochester Chancellor Stephen Lehmkuhle. P&A and Civil Service leadership will visit with Crookston and Morris leadership and P&A constituents in the upcoming year.
- Held productive dialogues with University leaders including President Eric Kaler, Vice President for Human Resources Kathy Brown, and newly appointed Senior Vice President for Finance and Operations Brian Burnett to advance areas of concern to P&A employees. Concerns included a discussion on reinstating the Regents Scholarship, a proposal that has been before the administration in some form since the 1990s; Parental Leave, a broadly shared concern; Impact of the University’s Job Family Studies, an issue that took much of the chair’s and Benefits and Compensation Committee’s time this year.
- Readied a resolution on parental leave equity, passed by the P&A Senate and headed for University Senate consideration in fall 2017

Many other topics for the P&A Senate this year originated in work done through its subcommittees. We report here the most notable items.

Benefits and Compensation (B&C) Subcommittee

The B&C identifies areas of potential improvements in benefits, and provides a conduit of information between human resources administration and P&A employees. A major focus this year was addressing the inequities in parental leave. In April, the Senate approved a B&C resolution to extend six paid weeks to all parents. The resolution has been forwarded to central leadership and is expected to be before the University Senate this fall. Other resolutions in development are on improving the Regents Scholarship program, increasing vacation accrual allowance for P&As, and increasing transparency in human resources policies.

Communications Subcommittee

This subcommittee is responsible for communicating the work of PACC and the P&A Senate to all P&A employees at the University. The main communication method is the monthly newsletter, which underwent a major overhaul this year, introducing features to educate, inspire, and invite discussion. A revised P&A website is in the works, in collaboration with the University Senate Office.

Outreach Subcommittee

The Outreach Subcommittee is charged with increasing awareness about the P&A Senate and filling vacant senate seats. This year, through a variety of innovative efforts, including the creation of two informational videos targeting potential senators, a welcome kit for new senators, and the Adopt-a-Unit initiative, which established dedicated subcommittee liaisons to each unit, the Outreach sub-committee is engaged and effective. Historically vacant seats are filled, and for the first time in years, we anticipate a fully seated senate for the upcoming year.

Professional Development & Recognition (PD&R) Subcommittee

This year, the PD&R subcommittee continued the very successful Brown Bag Lunch & Learn series, which supports professional development. The series is open to all P&A and attendance (in person and online) at this year's events, Leader as Host (October), Sleep Wellness (December), and the special seminar on Financial Wellness (April) was high.

The second focus for PD&R is the selection and presentation of the annual Outstanding Unit Award, the senate's signature award to recognize a unit that has made extraordinary achievements to enhance and support P&A staff and the critical role they play in achieving the University's mission. 2017 awardees are highlighted in Item #5 of the Senate Work Plan section of this document.

We have been fortunate and honored to lead the P&A Senate this year. We are extremely grateful for the opportunity, and express our gratitude to the senators and senate subcommittee leaders who have conscientiously contributed to the welfare of the University through participation in senate service.

Respectfully submitted,

Etty DeVeaux
Chair, 2016-17 P&A Consultative Committee and P&A Senate

Catherine St. Hill
Chair-elect, 2016-17 P&A Consultative Committee and P&A Senate

2016-17 P&A Senate Leadership

Chair Etty DeVeaux, Graduate School
Chair-Elect Catherine St. Hill, College of Pharmacy
Past Chair Susanne Vandergon, Office of Information Technology

Benefits and Compensation Committee Co-Chairs
 Ian Ringgenberg, University Honors Program
 Shannon Farrell, University Libraries

Communications Committee Chairs
 Austin Calhoun, Medical School (August – March)
 Ann Hagen, School of Dentistry

Outreach Committee Chair
 Ann Hagen, School of Dentistry

Professional Development and Recognition Committee Co-Chairs
 Peter Angelos, College of Liberal Arts, University of Minnesota Duluth
 Elizabeth Schwartz, Global Programs and Strategy Alliance

2016-2017 Civil Service Annual Report

Overview

The Civil Service Consultative Committee (CSCC) and the Civil Service Senate had a productive year tackling topics impacting Civil Service employees and supporting various initiatives taking place at the University.

The agendas for the CSCC meetings were filled with speakers on topics affecting Civil Service employees:

- Ken Horstman, senior director, Total Compensation, Office of Human Resources – changes to the Fair Labor Standards Act (FLSA) and ongoing impacts from the Job Family Study (JFS)
- Ann Freeman, senior consultant, University Relations; Stef Wilenchek, director, Gender and Sexuality Center for Queer and Trans Life – Bias Response Team
- President Eric Kaler – system-wide Strategic Planning process, senior leadership changes with start of the new Senior Vice President, Twin Cities and system campus relationship
- Vice President Kathy Brown – topics from human resources
- Mike Miller, legislative advocacy coordinator, Government and Community Relations – advocacy for the 2017 legislative session
- Senior Vice President Brian Burnett – topics related to his new role
- Randy Croce, member, Social Concerns Committee – Resolution on Equal Opportunity and Title IX Training
- Jeremy Jenkins, chair, Equity, Access and Diversity Committee - Resolution on Privacy of Student's Counseling and Medical Records
- Sheila Reger and Laura Negrini, Talent Acquisition, Office of Human Resources - new recruiting/hiring process being piloted for the Finance Professional job family
- Patti Dion, director, Employee and Labor Relations, Office of Human Resources – changes to performance appraisal programs for Civil Service employees
- Joshua Ruegg and KT Cragg, End User Support, Office of Information Technology – annual IT governance feedback and priorities
- Ian Ringgenberg and Corinne Komor, P&A Senate Benefits and Compensation Committee – support for Resolution on Parental Leave Equity
- Chad Burkitt, Minnesota State Retirement System (MSRS) – MSRS plan overview, current challenges, and legislative proposal

The Civil Service Senate was involved with the following items:

- Discussion with Julia Showers, director, regarding the work done by the Office for Conflict Resolution
- Endorsed the Equity, Access and Diversity Committee Resolution on Privacy of Student's Counseling and Medical Records
- Endorsed the Social Concerns Committee Resolution on Equal Opportunity and Title IX Training
- Elections for open seats on the CSCC and the Civil Service Senate
- Planning for 2017-18

Membership

The membership of the Civil Service Consultative Committee (CSCC) was more consistent than it has been in past years, including the ability to retain the chair and vice chair throughout the academic year. For 2015-16, the chair was reclassified to P&A in October and therefore the vice chair became the acting chair, and a vice chair was not named until spring.

The Civil Service Senate membership was low fall semester, but after a request was sent for applications, 18 new senators began their service in March and were participants at the spring Senate meeting.

One issue for both bodies has been the ability to attract membership from the system campuses. For the academic year, both bodies have been without representation from Rochester, and most senator seats from the other campuses have remained open. More work needs to be done next year in this area.

System Campus Visits

As a way to hear directly from Civil Service employees and increase participation, representatives from the Civil Service Consultative Committee, along with representatives from the P&A Consultative Committee, visited two campuses this academic year. The first visit took place in December at the Duluth campus. Representatives had a joint meeting with the staff council and an open listening session for Civil Service and P&A employees. Both groups had many of the same issues – continued impacts from the Job Family Study and merit pay being tied to annual performance reviews.

The second trip was to Rochester in April. The day started with a meeting with the UMR Leadership Team - Chancellor Lehmkuhle, Vice Chancellor Lori Carrell (Academic Affairs and Student Development), and Associate Vice Chancellor Gail Sauter (Finance and Campus Resources). This was followed by two listening sessions for employees.

Both groups are planning joint trips to Crookston and Morris for the next academic year.

Civil Service Rules Updates

After the Board of Regents approved updates to the Civil Service Employment Rules (Rules) in June 2016, the Rules Subcommittee began another round of changes to address additional inconsistencies as effects of the Job Family Study.

A working committee was formed with members from the Office of Human Resources to review and clarify existing Rules. Some of the items which are being reviewed are the vacation accrual method, seniority units and bumping rights, and the job classification change process. The Rules Subcommittee is continuing to work on proposed language regarding sexual harassment references, other work arrangements, and references to statute in regard to voting.

The next update to the Rules is scheduled to be recommended to the Board of Regents in the fall of 2017. Public hearings on the proposed Rules will be held prior to the Board of Regents meeting.

Impacts from the Job Family Study (JFS)

The Civil Service Consultative Committee (CSCC) continues to hear about impacts from the Job Family Study (JFS), which was completed over a year ago. CSCC's leadership raised this issue with Ken Horstman and Mary Rohman Kuhl from the Office of Human Resources (OHR) to determine how to work through lingering issues. What was proposed was for CSCC to develop a list of these issues. OHR will then review that list to determine which are actionable and which are not. Those issues which are actionable will come back to CSCC for prioritization so that progress can be made.

CSCC developed the following list of issues and is waiting for feedback from OHR to determine next steps:

1. V-class concerns for almost 900 employees - how people were handled, what happens when a civil service employee leaves these positions, if these positions are still exempt, and how employees can be compensated if they move from a V-class position.
2. JFS did not address salary inequities as long as an individual's salary was in-range. This is part of a larger compensation issue.
3. Roughly 1000 no new entry employees have no ability to advance in the civil service ranks. The decision to allow them to remain in their former civil service classification means that any pain through transferring to another position has only been moved into the future and not eliminated.
4. Associated issues from changes to the Fair Labor Standards Act
5. JFS employment ladders mean that all CS positions lead to P&A. Due to the differences in benefits, this is not an acceptable transition for most employees.
6. Vacation equity between CS and P&A
7. There is no compensation for on-call supervisors. If permission is needed to work overtime, then the position should not be considered exempt.
8. Some higher level jobs are not available in areas, such as system campuses or departments, which limits advancement opportunities
9. Non-renewal being at the discretion of the supervisor so even if an employee has been fantastic, if that employee get one supervisor who does not like them, they can be non-renewed
10. Years of service towards notice of non-renewal. The argument was that 30 days for P&A with zero years is the same as the 28 day layoff notice for CS. However, laying off an employee means the job is being terminated due to needs changing in the department or lack of budget; it is not the same as non-renewal.

Closing

This has been a year of stability and continued progress for Civil Service governance. We look forward to another exhilarating year of service and continuing to work on issues that impact the lives of Civil Service employees. We are thankful for the opportunity to participate in the governance of the University, and also for all those who have supported and helped us along the way.

Thank you,

Duane Orlovski
Chair, 2015-17 Civil Service Consultative Committee and Civil Service Senate

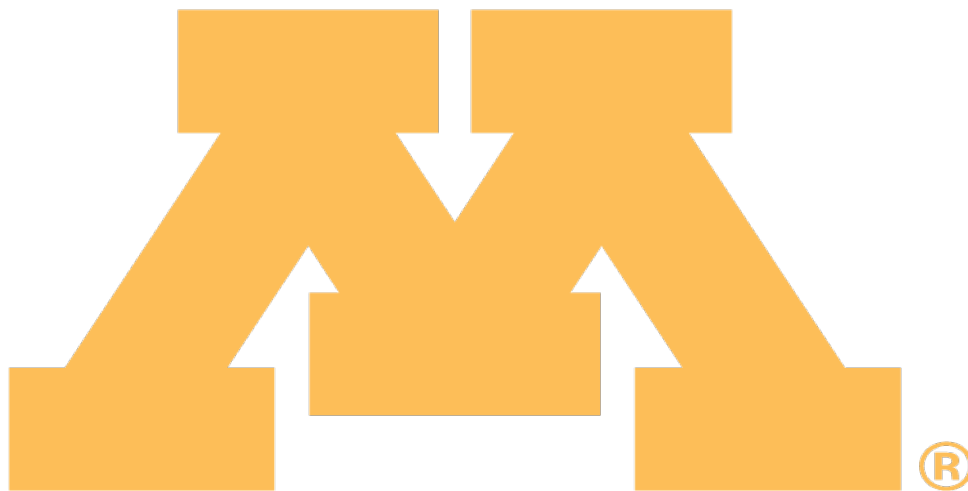
2016-17 CSCC Membership

Chair: Duane Orlovski
 Vice Chair: Ray Muno
 Crookston: Gary Willhite
 Duluth: Becky Nelson
 Morris: Kim Schultz
 Rochester: Open seat
 Twin Cities At Large: Terry Beseman
 Twin Cities At Large: Cynthia Lawson
 Twin Cities EVP/Provost: Michele Chilinski
 Twin Cities EVP/Provost: Terri Wallace
 Twin Cities VP for Health Sciences: Bobbie Lundberg
 Twin Cities VP for Health Sciences: Jean Otto

Twin Cities VP for Health Sciences: AJ Van den Berghe
Ex Officio: Patti Dion
Senate Staff: Becky Hippert



Meeting of the Board of Regents



Quarterly Report of Grant/Contract Activity

Fiscal Year 2017

Third Quarter Data: January - March, 2017

Quarterly Report of Grant and Contract Activity

Fiscal Year 2017 Third Quarter: January - March, 2017

Quarter 3 Summary

Both award count and award amount were down in Q3 FY2017 (14 and \$37.4M, respectively). The average award amount in Q3 FY2017 was lower than Q3 FY2016 by \$33.2K. The decrease in award amount and count is primarily due to fewer \$1M+ awards this quarter. Excluding the \$1M+ awards for each year, the amount awarded in Q3 FY2017 is still less than Q3 FY2016 by \$7.4M (6.9%); award counts were 1065 and 1064 for FY2016 and FY2017 respectively. Excluding \$1M+ awards, the average award amount for this year is \$94.8K, \$6.9K less than Q3 FY2016; this suggests that both fewer \$1M+ awards and a lower average award amount are driving the decline in Q3 FY2017. All sponsor groups except NIH saw a decline in Q3 FY2017. The increase in NIH is due to a higher average award amount in FY2017 versus that of FY2016. The steep decline in Business & Industry funding is due to five \$1M+ awards received in Q3 FY2016 that totaled \$14.8M; there were no \$1M+ awards from B&I in Q3 FY2017. Similarly, the declines in NSF, Other Private, and State & Local funding are primarily due to more \$1M+ awards in Q3 FY2016. There were two \$1M+ awards from State & Local sponsors in Q3 FY2016 that totaled \$9.0M, compared with no \$1M+ awards in Q3 FY2017. The decline in Other Federal, however, was due to a lower average award in Q3 FY2017. There are a few awards that were expected in Q3 that were delayed to Q4 and FY2018 Q1; these awards account for about \$14.2M. If these awards are incorporated into the Q3 numbers, Q3 shows a decline of \$23.2M (15.6%).

Almost every college saw a decline in funding. The college with the largest decline was the School of Public Health with a \$16.2M decrease in funding; \$14.6M of that decrease is due to five \$1M+ awards in Q3 FY2016 with no \$1M+ awards for that college in Q3 FY2017. Other TC Provost saw the largest increase with \$4.0M due to more awards in Q3 FY2017 than in Q3 FY2016. The large decrease in the Other group is due to three \$1M+ awards in Q3 FY2016 totaling \$10M without any \$1M+ awards this year.

Comparison of FY17 Q3 to FY16 Q3

by Source		FY16 Q3		FY17 Q3		\$ Change (Amount)	\$ Change (%)
Sponsor Group	Sponsor	Number	Amount	Number	Amount		
Federal	NIH	113	34.3	113	36.7	2.4	7.0%
Federal	NSF	48	11.1	26	7.7	-3.4	-30.9%
Federal	Other Federal	85	22.7	81	15.3	-7.5	-32.9%
Private	Business & Industry	360	28.3	410	14.2	-14.1	-49.9%
Private	Other Private	369	31.2	357	25.8	-5.4	-17.3%
State & Local	State & Local	108	20.4	82	11.1	-9.3	-45.6%
Total		1083	148.2	1069	110.9	-37.4	-25.2%

by College/Campus	Number	Amount	Number	Amount	\$ Change (Amount)	\$ Change (%)
Medical School	375	34.8	429	33.6	-1.2	-3.3%
College of Science and Engineering	123	19.7	107	16.8	-2.9	-14.6%
CFANS	128	13.0	101	11.4	-1.6	-12.5%
Other Health Sciences	137	7.0	158	9.1	2.1	29.9%
Public Health	70	24.3	52	8.1	-16.2	-66.6%
Dentistry, Nursing, Pharmacy & Vet Med	48	9.1	55	6.5	-2.7	-29.2%
Other	54	17.1	43	6.0	-11.1	-64.9%
Other TC Provost	24	1.8	40	5.9	4.0	223.8%
CEHD	43	9.7	26	5.1	-4.5	-46.9%
CBS	22	3.6	21	4.8	1.2	34.5%
CLA	21	3.4	18	1.9	-1.5	-43.5%
UMC, UMD, UMM, UMR	38	4.7	19	1.6	-3.1	-65.4%
Total	1083	148.2	1069	110.9	-37.4	-25.2%

NOTE: Amounts are represented in millions, therefore details may not sum to totals due to rounding.

Quarterly Report of Grant and Contract Activity

Fiscal Year 2017 Third Quarter: January - March, 2017

Figure 1: FY17 Q3 Award Dollars by Funding Source

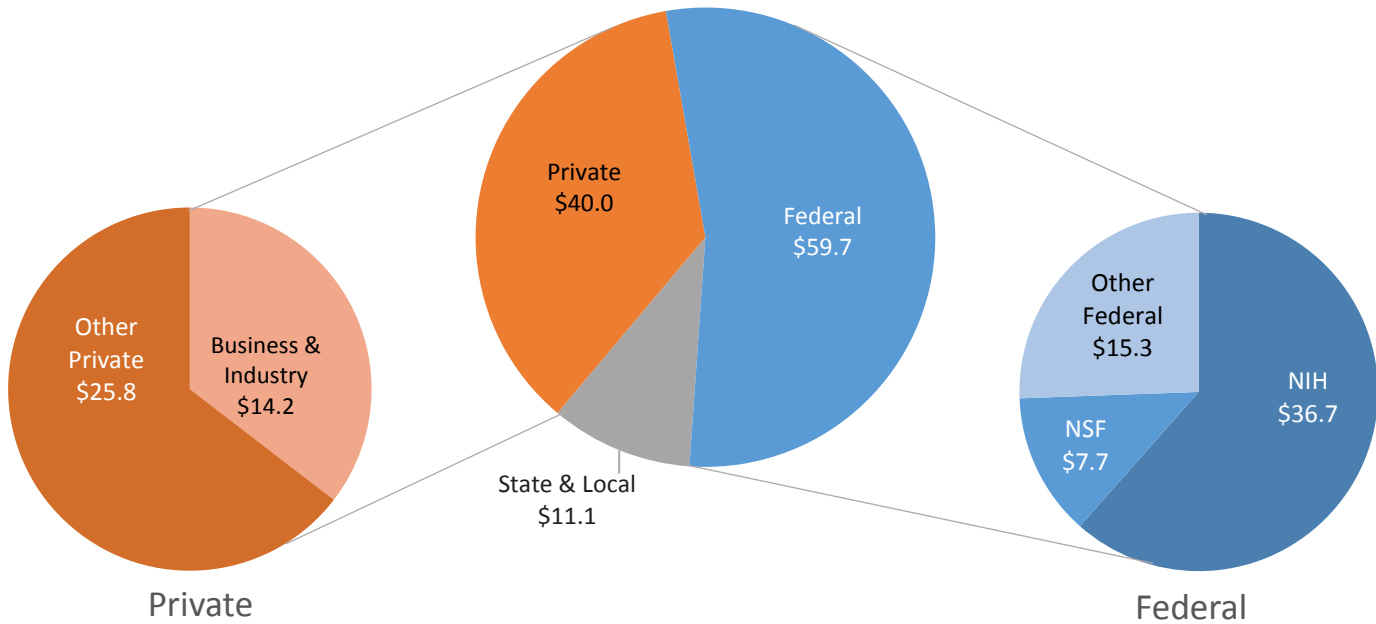
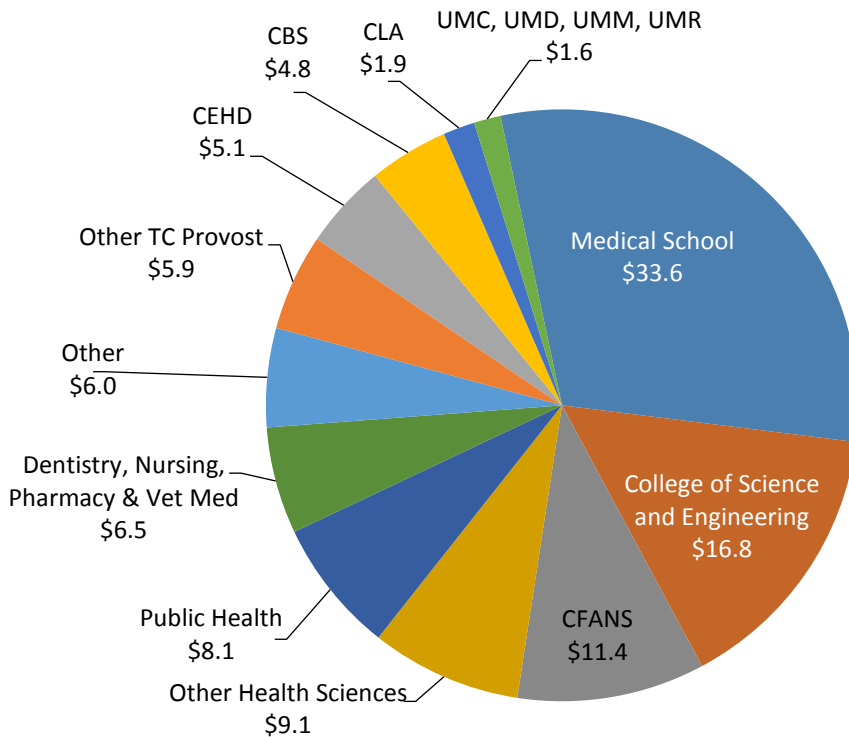


Figure 2: FY17 Q3 Award Dollars by College-Campus



NOTE: Amounts are represented in millions, therefore details may not sum to totals due to rounding.

Quarterly Report of Grant and Contract Activity

Fiscal Year 2017 Third Quarter: January - March, 2017

Quarter 3 Award Dollars by College/Campus

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

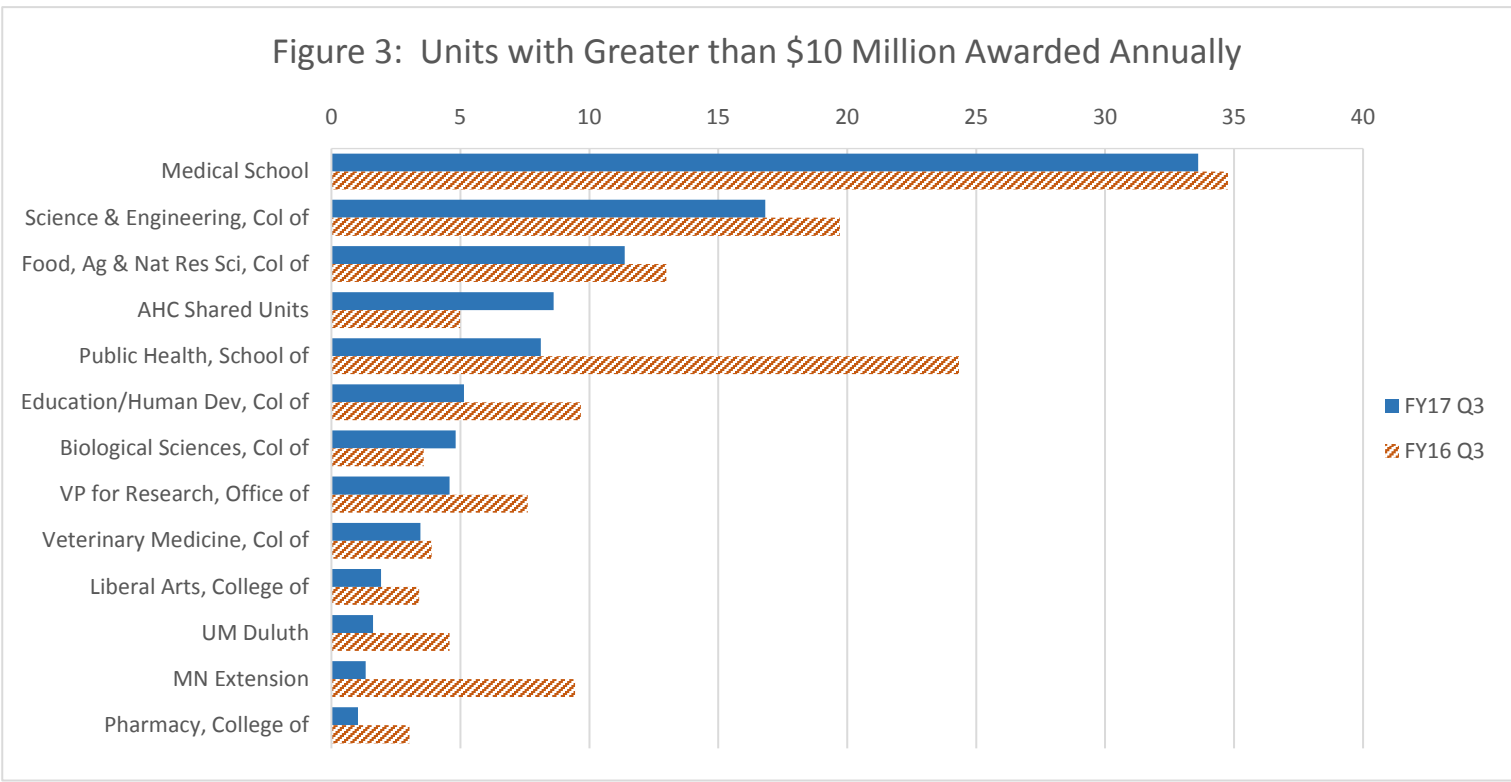
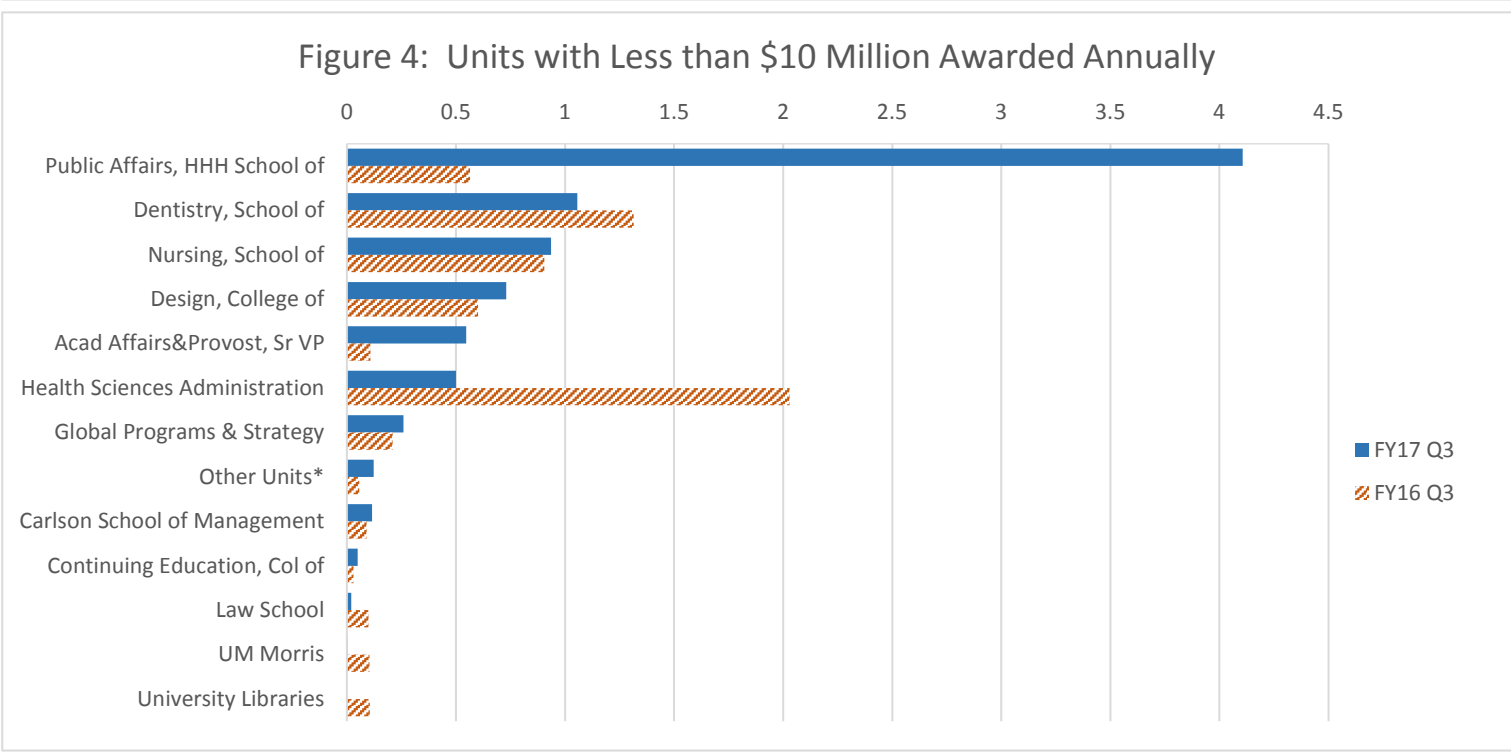


Figure 4: Units with Less than \$10 Million Awarded Annually



*Other Units includes: Vice Provost of Student Affairs, UM-Rochester, University Finance, Equity & Diversity, and University Health & Safety.

Quarterly Report of Grant and Contract Activity

Fiscal Year 2017 Third Quarter: January - March, 2017

Fiscal Year-to-Date Summary

Award amounts are down \$50.6M (8.0%) overall for fiscal year 2017. The University has received more awards year-to-date in FY2017 than in FY2016; this suggests that the decline in funding is due to a lower average award amount (\$181.9K in FY2016 versus \$165.2K in FY2017). NIH awards are down \$8.2M (4.4%), with essentially the same award counts in FY2016 and FY2017. NSF funding decreased in FY2017, down \$4.3M (6.4%); much like the NIH funding, the award count between the two years is similar indicating that a lower average award amount is the cause of the decline. Business & Industry (B&I) awards are down \$9.3M (14.1%) despite the higher award count; this can be attributed to more \$1M+ awards in FY2016 than in FY2017. State & Local government funding is down \$21.4M (26.5%) with more large awards last year. The Other Private group is down \$8.4M (6.9%), primarily due to fewer and smaller \$1M+ awards from Foundations and Universities and Colleges. Much of our significant award funding is Federal, so budget uncertainties may be contributing to the drop in FY2017 to date and may affect future funding. Furthermore, the decline in Federal funding drives a decline in pass-through funding, contributing to the decline in funding from other sponsor groups. We have anecdotal information that other institutions are seeing similar trends. Further analysis is planned for coming quarters to better understand this trend.

Just under half of the colleges show an increase in funding in FY2017. The Medical School is up \$12.5M (8.8%) primarily due to five more \$1M+ awards in FY2017 totaling \$14.1M; these awards came from Federal, B&I, and State & Local sponsors. CFANS is up \$9.0M (20.2%), and most of this increase is due to four more \$1M+ awards totaling \$9.0M; two of these awards came from Private sponsors, the others came from Federal sponsors. The Other group has the largest decrease in funding with a drop of \$22.7M (55.3%); \$17.4M of that drop is due to \$1M+ awards granted in FY2016 that were not matched in FY2017. The School of Public Health is down \$20.9M (23.1%); \$20.8M of that drop is from seven fewer \$1M+ awards in FY2017. The Dentistry, Nursing, Pharmacy & Vet Med group is down \$16.9M (35.4%) due to fewer \$1M+ awards in FY2017 from Federal, Private, and State & Local sponsors.

Comparison of FY17 Fiscal Year-to-Date (Q3) to FY16 Fiscal Year-to-Date (Q3)

by Source		FY16 YTD		FY17 YTD		\$ Change (Amount)	\$ Change (%)
Sponsor Group	Sponsor	Number	Amount	Number	Amount		
Federal	NIH	436	188.3	435	180.1	-8.2	-4.4%
Federal	NSF	225	66.9	204	62.6	-4.3	-6.4%
Federal	Other Federal	372	109.2	379	110.2	1.0	0.9%
Private	Business & Industry	1038	65.8	1104	56.5	-9.3	-14.1%
Private	Other Private	1093	122.2	1113	113.7	-8.4	-6.9%
State & Local	State & Local	317	80.8	292	59.4	-21.4	-26.5%
Total		3481	633.1	3527	582.5	-50.6	-8.0%
by College/Campus							
Medical School		1191	142.1	1213	154.7	12.5	8.8%
College of Science and Engineering		503	107.3	499	112.8	5.5	5.1%
Public Health		199	90.3	187	69.4	-20.9	-23.1%
CFANS		322	44.8	323	53.8	9.0	20.2%
Other Health Sciences		406	60.3	515	53.5	-6.9	-11.4%
CEHD		145	31.5	139	33.0	1.5	4.7%
Dentistry, Nursing, Pharmacy & Vet Med		190	47.8	188	30.9	-16.9	-35.4%
Other TC Provost		100	18.6	104	21.9	3.3	18.0%
Other		160	41.1	121	18.4	-22.7	-55.3%
CBS		80	16.2	70	15.0	-1.2	-7.6%
UMC, UMD, UMM, UMR		112	17.8	99	11.2	-6.6	-37.2%
CLA		73	15.2	69	8.0	-7.2	-47.5%
Total		3481	633.1	3527	582.5	-50.6	-8.0%

NOTE: Amounts are represented in millions, therefore details may not sum to totals due to rounding.

Quarterly Report of Grant and Contract Activity

Fiscal Year 2017 Third Quarter: January - March, 2017

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

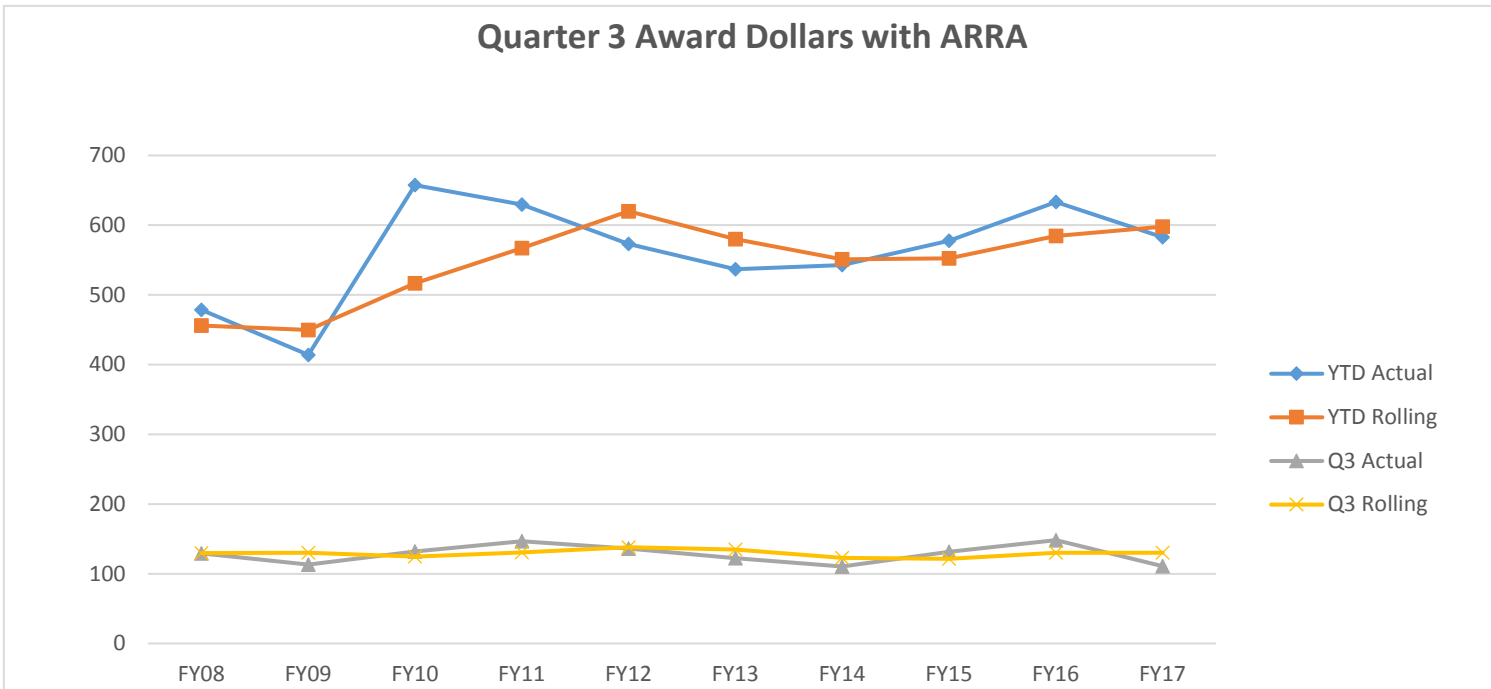
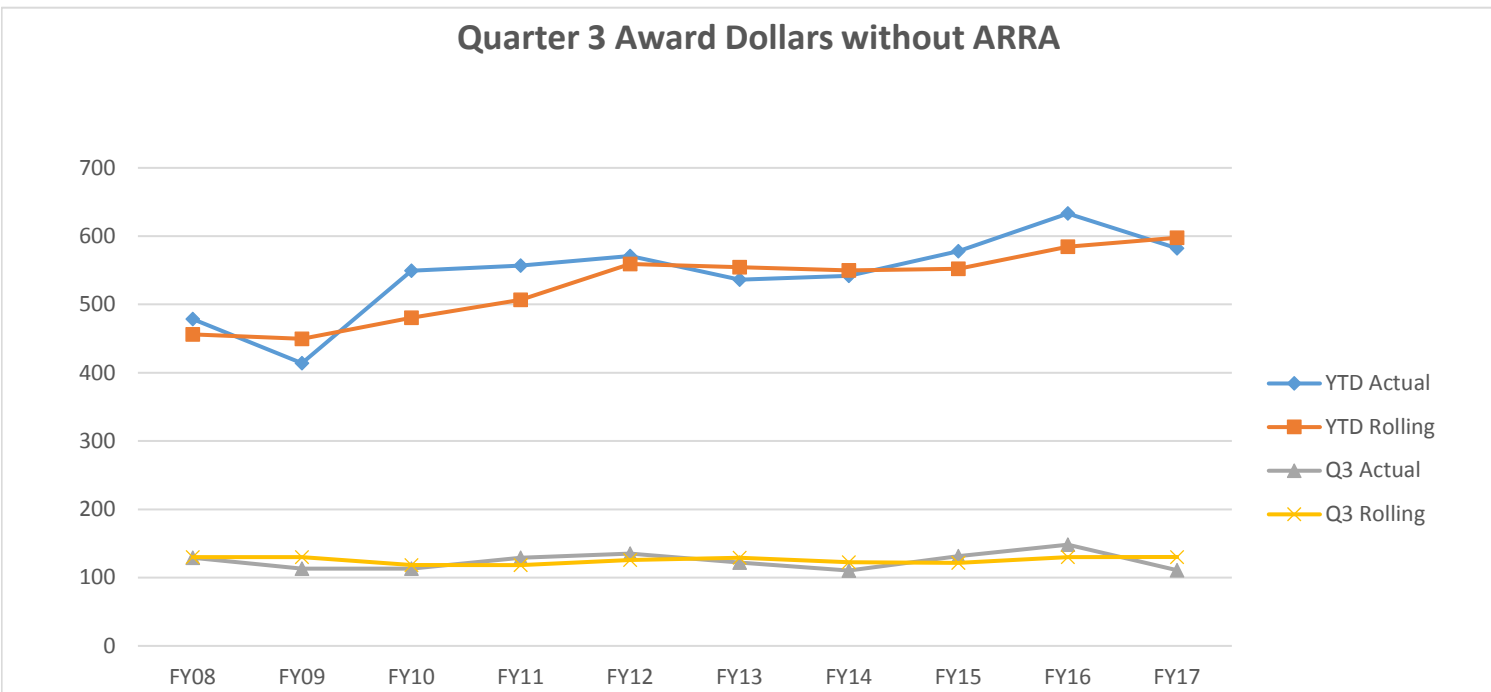


Figure 6: 10-year trend of third quarter award dollars. Showing actual amount and rolling 3-year average. Excludes ARRA awards.





BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

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

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

Items for consideration:

A. Gifts

The President recommends approval of the Summary Report of Gifts to the University of Minnesota through March 31, 2017.

B. Report of the All-University Honors Committee

The President recommends approval of the All-University Honors Committee recommendations forwarded to the Board in a letter dated June 1, 2017.

C. Appointment of Regents Professors

The President recommends approval of the Regents Professor recommendations forwarded to the Board in a letter dated June 1, 2017.

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

June 2017 Regents Meeting

	<u>April</u>		<u>Year-to-Date</u>	
	<u>2017</u>	<u>2016</u>	<u>07/01/16 04/30/17</u>	<u>07/01/15 04/30/16</u>
U of M Gift Receiving	\$ 100,364	\$ 77,067	\$ 1,717,657	\$ 3,046,550
4-H Foundation	24,139	61,899	580,032	700,945
Arboretum Foundation	370,429	1,416,328	4,632,345	8,958,799
Univ of MN Foundation	<u>49,441,823</u>	<u>26,846,026</u>	<u>263,552,527</u>	<u>239,568,623</u>
Total Gift Activity	<u>\$ 49,936,755</u>	<u>\$ 28,401,320</u>	<u>\$270,482,561</u>	<u>\$ 252,274,917</u>

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

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

Gifts to benefit the University of Minnesota

Gifts received in June 2017

<u>Donor</u>	<u>Rec'd by</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<u>\$1 Million and Over</u>			
MN Lions Vision Fdn. Inc.	UMF	Pledge	Medical School
Frederick M. and Siri J. Oss	UMF	Pledge	College of Science and Engineering
<u>\$500,000 - \$1,000,000</u>			
Prospect Creek Fdn	UMF	Gift	Academic Health Center
H. B. Fuller Co.	UMF	Pledge	Carlson School of Management
Niron Magnetics Inc.	UMF	Gift	College of Science and Engineering
<u>\$250,000 - \$500,000</u>			
The Hormel Fdn.	UMF	Gift	Hormel Institute
The Hartwell Fdn.	UMF	Pledge	Academic Health Center, Medical School
Diabetes Research and Wellness Fdn.	UMF	Pledge	Medical School
2nd Swing Golf	UMF	Pledge	Intercollegiate Athletics
Anthony and Brenda Evangelista	UMF	Gift	Medical School
<u>\$100,000 - \$250,000</u>			
Robert and Maureen Vince	UMF	Gift	Medical School
3M Co.	UMF	Gift	Various Colleges
LaVerne I. Colness	UMF	Gift	University of Minnesota Duluth
MGK Insect Control Solutions	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Amy Reid and Chris Koch	UMF	Pledge	Carlson School of Management
Don and Lorraine Freeberg Fdn.	UMF	Gift	Carlson School of Management
MN Soybean Research and Promotion Council	UMF	Pledge	College of Food, Agricultural and Natural Resource Sciences
Rogue Fdn.-Signature Fund the Minneapolis Fdn.	UMF	Gift	Academic Health Center, College of Veterinary Medicine, Intercollegiate Athletics
<u>\$50,000 - \$100,000</u>			
James L. and Debra S. Gordon	UMF	Pledge	College of Design
Medtronic Inc.	UMF	Gift/Pledge	Medical School, Carlson School of Management
Martha Pitel Estate	UMF	Gift	School of Nursing
Emmillee Dennison Estate	UM	Gift	Minnesota Landscape Arboretum
Heidi Roy Hubbard	UMF	Pledge	Medical School

\$50,000 - \$100,000

MN Lions Diabetes Fdn. Inc.	UMF	Gift	Medical School
Cargill Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Eric and Cynthia Swanlund	UM	Gift	College of Liberal Arts
ZBH Enterprises LLC	UMF	Gift	College of Science and Engineering
Phileona Fdn	UMF	Gift	College of Veterinary Medicine
Katherine R. Lillehei Char. Lead Unitrust	UMF	Gift	Medical School, School of Nursing
Hubbard Broadcasting Inc.	UMF	Gift	Intercollegiate Athletics
Ephraim M. Sparrow	UMF	Gift	College of Science and Engineering
Carol and Perry Hackett Char. Fund-Schwab Char.	UMF	Gift	College of Biological Sciences
Emerson Electric Co.	UMF	Gift	Intercollegiate Athletics
Julia W. Dayton Revocable Trust	UMF	Gift	College of Design
Lucy M. S. Chang and Frederick J. Bollum	UMF	Gift	Medical School
Carlisle Companies	UMF	Pledge	Carlson School of Management
Eric Nyquist Memorial	UMF	Pledge	Carlson School of Management
Peter and Lisa Janzen Fund-Amer. Endowment Fdn.	UMF	Gift	Intercollegiate Athletics
S. C. Johnson and Son Inc.	UMF	Gift	College of Science and Engineering
Sherwood O. Berg Estate	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Supervalu Pharmacies Inc.	UMF	Pledge	College of Pharmacy

\$25,000 - \$50,000

Starke and Virginia Hathaway Trust	UMF	Gift	College of Liberal Arts
Carolyn A. Erickson	UMF	Gift	Intercollegiate Athletics
Waletich Corp.	UMF	Gift	Intercollegiate Athletics
Mark A. and Deborah J. Kravik	UMF	Gift	Intercollegiate Athletics
Pentair PLC	UMF	Gift	Intercollegiate Athletics
US Bank	UMF	Gift	Intercollegiate Athletics
Boston Scientific Corp.	UMF	Gift	College of Science and Engineering, Medical School
Intel Corp.	UMF	Gift	College of Science and Engineering
Federated Insurance Co.	UMF	Gift	Intercollegiate Athletics
State Farm Mutual Automobile Insurance Co.	UMF	Gift	Carlson School of Management
Al Hilde Jr. Gift Fund-Fidelity Char. Gift Fund	UMF	Gift	Intercollegiate Athletics
David and Molly Clark	UMF	Pledge	Carlson School of Management
David Winton Bell Fdn.	UMF	Pledge	Libraries
James Forbes	UMF	Gift	Intercollegiate Athletics

\$25,000 - \$50,000

Louise/Joseph Connolly Fund-Catholic Comm. Fdn.	UMF	Gift	Medical School
Millicent Atkins Estate	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Travelers	UMF	Gift	College of Veterinary Medicine
Seth S. and Natatlie D. Gordon	UMF	Pledge	College of Design
Paul H. Boening	UMF	Gift	College of Science and Engineering
Vivid Seats	UMF	Gift	Intercollegiate Athletics
Hazel J. Marsh Estate	UMF	Gift	Academic Health Center, Minnesota Landscape Arboretum
Target Corp.	UMF	Gift	Carlson School of Management, Unrestricted
MN Turf and Grounds Fdn.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Gilead Sciences Inc.	UMF	Gift	School of Public Health
TCF Financial Corp.	UMF	Gift	Intercollegiate Athletics
Stephen and Roxane Gudeman	UMF	Gift	College of Liberal Arts
Anonymous	UMF	Gift	College of Design
Ames Construction Charitable Fdn.	UMF	Gift	Intercollegiate Athletics
Bayne/Grayden Family Fund at Fidelity Char.	UMF	Gift	School of Dentistry
Butzow Family Fdn.	UMF	Pledge	Intercollegiate Athletics
Dare to Care Fund-Arizona Community Fdn.	UMF	Gift	Carlson School of Management, University of Minnesota Duluth
John and Susan Sievert	UMF	Pledge	College of Science and Engineering
Lam Research Corp.	UMF	Gift	College of Science and Engineering
Patrick B. and Marlene M. Sloan	UMF	Gift	College of Education and Human Development
Pentair Inc.	UMF	Gift	Carlson School of Management
Scott B. and Melissa M. Marston	UMF	Gift	Medical School
SipcamAdvan	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences

\$10,000 - \$25,000

Germain's Seed Technology Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
General Mills Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences, Intercollegiate Athletics
John McWilliams Estate	UMF	Gift	Medical School
Franklin H. and Adrienne K. Barnwell	UMF	Gift	College of Biological Sciences
TCF National Bank	UMF	Gift	Academic Health Center
Gary L. and Nancy J. Grammens	UMF	Gift	Academic Health Center

\$10,000 - \$25,000

General Mills Fdn	UM	Gift	Minnesota Landscape Arboretum
Mary M. Tjosvold	UMF	Gift	College of Education and Human Development
Susan and Richard Anderson Family Fund	UM	Gift	Minnesota Landscape Arboretum
Infinite Culture Media Co., Ltd.	UMF	Gift	College of Education and Human Development
Arvid Olson Estate	UMF	Gift	Medical School
Berger Transfer and Storage Inc.	UMF	Gift	Intercollegiate Athletics
W. Douglas and Phyllis G. Ostergren	UMF	Gift	School of Dentistry
Austin Bruins Fdn.	UMF	Gift	Hormel Institute
Kraus-Anderson Construction Co.	UMF	Gift	Academic Health Center
Van Sloun Fdn.	UMF/UM	Gift	College of Veterinary Medicine, Minnesota Landscape Arboretum
Paint the Town Pink	UMF	Gift	Hormel Institute
Robert F. Crosby	UMF	Gift	Intercollegiate Athletics
Land O'Lakes Inc.	UMF	Gift	Carlson School of Management, College of Food, Agricultural and Natural Resource Sciences
Hofmann and Schweitzer	UMF	Gift	College of Science and Engineering
Donn P. Barber	UMF	Gift	Carlson School of Management
Gabriel Jabbour	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Hildy Bowbeer Char. Gift Fund-Fidelity Char.	UMF	Gift	Medical School
Kathleen H. Jamieson	UM	Gift	Minnesota Landscape Arboretum
Paulita La Plante O'Neill	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Walter H. Judd Fund-Minneapolis Fdn.	UMF	Gift	Global Programs and Strategy Alliance
Mary Inc.	UMF	Gift	Intercollegiate Athletics
Kerri Spinazola	UMF	Gift	Medical School
Big Sky Cattle LLC	UMF	Gift	Intercollegiate Athletics
Geritom Medical Pharmacy	UMF	Gift	Intercollegiate Athletics
E A Sween Co.	UMF	Gift	Intercollegiate Athletics
Drew Forbes	UMF	Gift	Intercollegiate Athletics
Michelle R. Gronemeyer	UMF	Gift	Intercollegiate Athletics
Jean and Arnold London	UMF	Pledge	Weisman Art Museum
Patrick E. and Linda L. Clare	UMF	Gift	Medical School
Chip Glaser	UMF	Gift	Intercollegiate Athletics
Data Recognition Corp.	UMF	Gift	Academic Health Center
David J. Girk	UMF	Gift	Intercollegiate Athletics
Genomic Health Inc.	UMF	Gift	Academic Health Center

\$10,000 - \$25,000

CHS Inc.	UMF/UM	Gift	Intercollegiate Athletics, 4H Foundation
Mower County Agricultural Society	UMF	Gift	Hormel Institute
R. Vance Morey	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Chris Campbell	UMF	Gift	Intercollegiate Athletics
M. A. Mortenson Co.	UMF	Gift	Intercollegiate Athletics
Daniel D. Stratton and Rebecca A. Crooks	UMF	Gift	Intercollegiate Athletics
Stanley W. Hup	UMF	Gift	Intercollegiate Athletics
Washburn McReavy Funeral Chapels	UMF	Gift	Intercollegiate Athletics
Kane Transport	UMF	Gift	Intercollegiate Athletics
Deidra J. Wager	UMF	Gift	University of Minnesota Duluth
Augeo Affinity Marketing Inc.	UMF	Gift	Carlson School of Management
CarVal Investors LLC	UMF	Gift	Medical School
Dan McDonald Fund-Fidelity Char.	UMF	Gift	Law School
Edith D. Leyasmeyer	UMF	Gift	Weisman Art Museum
Fredrikson and Byron PA	UMF	Gift	Carlson School of Management
John and Mary Pappajohn Scholarship Fdn.	UMF	Gift	College of Design
Kathleen M. Schmidlkofer	UMF	Gift	Undesignated
Mahoney Ulbrich Christiansen and Russ PA	UMF	Gift	Humphrey School of Public Affairs
MN Honey Producers Assn. Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
National Crop Insurance Services	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Northern Canola Growers Assn.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Pioneer Hi-Bred International Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Prescription Landscape	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Richard D. Schmidt	UMF	Gift	Medical School
Weil Fdn	UMF	Gift	Center for Spirituality and Healing

\$5,000 - \$10,000

LaPointe Utilities Inc.	UMF	Gift	Intercollegiate Athletics
Crystal Farms Refrigerated Distribution Co.	UMF	Gift	Intercollegiate Athletics
Jon P. Mueller	UMF	Gift	Intercollegiate Athletics
Comcast Spotlight	UMF	Gift	Intercollegiate Athletics
John S. Anderson	UMF	Gift	Intercollegiate Athletics

\$5,000 - \$10,000

Peter J. Donnino	UMF	Gift	Intercollegiate Athletics
Robert Milnichuk	UMF	Gift	Intercollegiate Athletics
SeQuel Response	UMF	Gift	Intercollegiate Athletics
Richard and Juanita Luis	UMF	Gift	4H Foundation
Mike Haglund	UMF	Gift	Intercollegiate Athletics
Ziegler Inc.	UMF	Gift	Intercollegiate Athletics
Martin E. Davis	UMF	Gift	Intercollegiate Athletics
Lowell F. Schwab	UMF	Gift	Intercollegiate Athletics
Brian K. Slipka	UMF	Gift	Intercollegiate Athletics
Alkire Family Fdn.	UMF/UM	Gift	Medical School, Minnesota Landscape Arboretum
Calvin J. and Caroline K. Roetzel	UMF	Pledge	College of Liberal Arts
William L. Crawford	UMF	Gift	Intercollegiate Athletics
James and Debra Gordon Donor Advised Fund	UMF	Gift	College of Design
B. John Lindahl Jr	UMF	Gift	Intercollegiate Athletics
Dale E. Peterson	UMF	Gift	Intercollegiate Athletics
Craig L. Thorvig	UMF	Gift	Intercollegiate Athletics
Stephen S. Lane	UMF	Gift	Intercollegiate Athletics
James G. Wohlford	UMF	Gift	Intercollegiate Athletics
Factory Motor Parts Co.	UMF	Gift	Intercollegiate Athletics
Jan R. Price	UMF	Pledge	College of Liberal Arts
June L. Aaker Estate	UMF	Gift	Minnesota Landscape Arboretum
Paul J. Huber	UMF	Gift	Intercollegiate Athletics
MN Hobby Beekeepers Assn.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Yvonne P Oaks Estate	UMF	Gift	Medical School
Daniel and Jane Phillips	UMF	Gift/Pledge	Intercollegiate Athletics
Anonymous	UMF	Gift	Medical School
Bailey Nurseries Inc.	UM	Gift	Minnesota Landscape Arboretum
Fairview Health Services	UMF	Gift	Medical School
Society of Teachers, Family Medicine Fdn.	UMF	Gift	Medical School
Charles J. Suk	UMF	Gift	Intercollegiate Athletics
MN Twins	UMF	Gift	Intercollegiate Athletics, Medical School
CLB LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Anonymous	UMF	Gift	Libraries
Carl S. and Ruth G. Benson	UMF	Gift	College of Science and Engineering
Joseph T. Stinar	UMF	Gift	Intercollegiate Athletics
Benjamin D. Fagerlie	UMF	Gift	Intercollegiate Athletics
IGA Midtown Foods	UMF	Gift	Intercollegiate Athletics

\$5,000 - \$10,000

Michael B. Wright	UMF	Gift	Intercollegiate Athletics
Active AgriScience Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Weck Charitable Trust	UMF	Gift	College of Science and Engineering
James W. and Lorna K. Nelson	UMF	Gift	Intercollegiate Athletics
Gerald D. Jordahl	UMF	Gift	Intercollegiate Athletics
David Kronick	UMF	Gift	Intercollegiate Athletics
Michael W. Wright	UMF	Gift	Intercollegiate Athletics
Packaging Corp. of America	UMF	Gift	Intercollegiate Athletics
WCCO Radio 8-3-0	UMF	Gift	Intercollegiate Athletics
Gregory S. Mitsch	UMF	Gift	Intercollegiate Athletics
J. Scott Nelson	UMF	Gift	Intercollegiate Athletics
Gus A. Chafoulias	UMF	Gift	Intercollegiate Athletics
Ion Corp.	UMF	Gift	Intercollegiate Athletics
Rosemary J. Graham	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Curtis A. Sampson	UMF	Gift	Intercollegiate Athletics
Deborah R. Olson	UMF	Gift	Intercollegiate Athletics
Duane H. Bakke	UMF	Gift	Intercollegiate Athletics
AgStar Financial Services	UM	Gift	4H Foundation
Architectural Alliance	UMF	Gift	Intercollegiate Athletics
Bradford Reid	UMF	Gift	Intercollegiate Athletics
Brett W. Rasmussen	UMF	Gift	Intercollegiate Athletics
Brian T. and Miriam H. Ebeling	UMF	Gift	Medical School
C. H. Robinson Worldwide Inc.	UMF	Gift	Carlson School of Management
Charles A. Dietz Jr.	UMF	Gift	Intercollegiate Athletics
Colle and McVoy Inc.	UMF	Gift	Intercollegiate Athletics
Dougherty Financial Group LLC	UMF	Gift	Intercollegiate Athletics
Gina M. Cefalu	UMF	Gift	Intercollegiate Athletics
J. L. Buchanan Inc.	UMF	Gift	Intercollegiate Athletics
James DeLaHunt	UMF	Gift	Intercollegiate Athletics
James R. Cote	UMF	Gift	Intercollegiate Athletics
Lyle C. Fahning	UMF	Gift	Intercollegiate Athletics
Paul R. Koch	UMF	Gift	Intercollegiate Athletics
Polaris Industries Inc.	UMF	Gift	Carlson School of Management
Select Sales Inc.	UMF	Gift	Intercollegiate Athletics
Steven J. Kristo	UMF	Gift	Intercollegiate Athletics
Veronica J. Johnson	UMF	Gift	College of Education and Human Development
Walter G. Anderson Inc.	UMF	Gift	Intercollegiate Athletics
Wayne Larson	UMF	Gift	Intercollegiate Athletics
Wells Fargo Wealth Management	UMF	Gift	Intercollegiate Athletics
IBM International Fdn.	UMF	Pledge	College of Science and Engineering

\$5,000 - \$10,000

Jamie Lohr and Andrew Schmidt	UMF	Gift	Intercollegiate Athletics
Stephen J. Haines and Jennifer L. Plombon	UMF	Gift	Medical School
Pay It Forward	UMF	Gift	College of Pharmacy
Tommy Moe	UMF	Gift	Intercollegiate Athletics
Erma E. McGuire	UMF	Gift	College of Education and Human Development
Ticket City	UMF	Gift	Intercollegiate Athletics
Kirk M. and Alice S. Odden	UMF	Gift	Intercollegiate Athletics
Paul E. Huepenbecker	UMF	Gift	Intercollegiate Athletics
Erik L. Allen	UMF	Gift	Intercollegiate Athletics
Frank H. Burton	UMF	Gift	Medical School
Brown Paper Tickets LLC	UMF	Gift	Medical School
Emerson Charitable Trust	UM	Gift	Minnesota Landscape Arboretum
Accentra Credit Union	UMF	Gift	Hormel Institute
Hormel Foods Corp.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Agropur	UMF	Gift	Academic Health Center
Alfred Sedgwick Fund-Fidelity Char. Gift Fund	UMF	Gift	Weisman Art Museum
Allina Health System	UMF	Gift	Center for Spirituality and Healing
Armeane M. Choksi	UMF	Gift	College of Liberal Arts
Associated Milk Producers Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Charlson Meadows Renewal Center	UMF	Gift	Center for Spirituality and Healing
CHR Hansen Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Daisy Brand	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Davisco Foods International Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Deborah Hautzig	UM	Gift	Libraries
Decor	UMF	Gift	College of Design
Deluxe Corp.	UMF	Gift	College of Veterinary Medicine
E and K Cunningham Family Fdn-Ren. Char. Fdn	UMF	Gift	Intercollegiate Athletics
Hauff Berdie Legacy - Fidelity Charitable	UMF	Gift	College of Liberal Arts
Jennifer M. Marrone	UMF	Gift	Northrop
Michael B. Eckhardt	UMF	Gift	College of Science and Engineering
Milk Specialties Global	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Monsanto Fund	UM	Gift	4H Foundation

\$5,000 - \$10,000

NAMSA	UMF	Gift	College of Science and Engineering
Perten Instruments Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Peter R. Davies	UMF	Gift	College of Veterinary Medicine
Ralph P. Lockwood Estate	UMF	Gift	Unrestricted
Richard S. Gregory	UMF	Gift	Northrop
Robert and Melinda Lubben	UMF	Gift	Medical School
Sanofi-Aventis US Inc.	UMF	Gift	Medical School
Senior Care Communities Inc.	UMF	Gift	Center for Spirituality and Healing
Stantec Consulting Services Inc.	UMF	Gift	College of Science and Engineering
Summit Mortgage Corp.	UMF	Gift	Medical School
Swiss Valley Farms Co.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
The Little Potato Co. Ltd.	UMF	Gift	Academic Health Center
Wells Enterprises Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: Report of the Faculty Consultative Committee

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Colin Campbell, Associate Professor, Medical School and Chair, Faculty Consultative Committee

PURPOSE & KEY POINTS

To provide the Board with an update on the goals and accomplishments of the Faculty Consultative Committee throughout the year.

BACKGROUND INFORMATION

The chair of the Faculty Consultative Committee provides regular updates to the Board. The last update occurred in December 2016.

FACULTY CONSULTATIVE COMMITTEE REPORT
TO THE UNIVERSITY OF MINNESOTA BOARD OF REGENTS

9 June, 2017

Chair Johnson, Vice Chair McMillan, Members of the Board and President Kaler:

On behalf of my colleagues on the Faculty Consultative Committee, it is my pleasure to present to the Board of Regents our committee's spring semester report. My goal is to relate some of the topics that we've discussed, and to give you a sense of the major themes that have occupied our thoughts this past semester.

Student mental health. As this board will recall from my remarks in November, the FCC partnered with the Provost's office to create a joint task force on student mental health. This task force, co-chaired by Professor Sue Wick and Dr. Gary Christianson, the chief medical officer of Boynton Health, worked with a team of faculty, staff and students to address this topic. They produced a report, including a number of draft recommendations, that was presented for information at the 4 May University Senate meeting. These recommendations were centered around five topics: 1. Role of Instructors, 2. Instructional Strategies, 3. Strengthening Instructor Proficiency to Respond, 4. Department/Unit Support, and 5. University Leadership Support. The report also discussed the future composition and direction of the provost's committee on student mental health. The document reflected the task force's thoughtful, scholarly approach, and was well received by the university senate. As I mentioned last year, the Task force's work is timely and important, and the FCC looks forward to continuing to work with the Provost's committee on student mental health as it takes the lead on implementing recommendations contained in this report.

The U of MN System-wide Strategic Plan (Building our Collective Future). The FCC met twice with co-chairs Vice Provost for Faculty and Academic Affairs Rebecca Ropers-Huilman and Chancellor (Rochester) Stephen Lehmkuhle to discuss their efforts, the fruit of which was presented to the board last month. Our guests provided some background to their initiative and engaged with committee members on this topic. The outcome from our robust discussion could be summarized as follows: the FCC realizes the great value in enhancing the ability of the UMN to function more effectively as a system while also recognizing the challenges that must be faced in achieving that objective.

FCC Statement Reaffirming our Values. Over the course of several meetings the FCC discussed and debated the merits of producing a statement in response to executive orders issued by the White House, i.e. the 'Travel Bans' on individuals from several predominantly Muslim nations. It was eventually decided to instead produce a document that was ultimately (and aptly) entitled: FCC Statement: Reaffirming our Values. This document was unanimously adopted by the FCC at our 23 March meeting, and subsequently widely disseminated across the University Community, and was presented at the May University Senate meeting for information. While input was provided by many members of the FCC, I particularly want to mention three individuals, Joseph Konstan, Greta Friedemann-Sanchez, and Peter Tiffin, who were particularly instrumental in producing the final product.

Proposal to the Minnesota Legislature to Amend the Data Practices Act. The FCC is indebted to the leadership and rank and file members of the Academic Freedom and Tenure Committee for their work in developing a proposal to amend the Minnesota Data Practices Act. This committee (and the FCC) has been concerned for some time about the potential misuse of the DPA in ways that *'attempt to target faculty members' unfinished work [that] may lead to incomplete and misleading information, stifle creativity, and even dissuade faculty from pursuing important, yet potentially controversial, topics'*. This effort required a great deal of time and effort, and I want to congratulate the co-chairs of AF&T professors Phillipe Buhlmann and Teresa Kimberly for their perseverance, and for their efforts to

consult with FCC. This proposal was presented to the University Senate at the May meeting and was approved by that body.

Meetings with Regents. Professor Konstan and I have continued a new tradition-one that was inspired just about two years ago by the former FCC vice-chair Professor Jigna Desai-of irregular, informal meetings with individual Regents. Joe and I have found these conversations to be illuminating, and, frankly, enjoyable, and hope and trust that these feelings have been reciprocated. We are looking forward to upcoming visits with Regents Sviggum, Powell, and McMillan. It is my hope that this tradition will indeed continue and that Joe and the new vice chair will continue to meet with other Regents as their busy schedules will permit. This effort is part of an ongoing effort to strengthen shared governance on campus. In that vein, we continue to work with the President and the senior members of his team to find ways that the faculty governance structure can more effectively engage with the administration as our institution confronts the challenges it faces. I would stress that at these meetings we have universally encountered a spirit of cooperation and a shared commitment to enhancing the ability of the University to fulfill its mission. As I said to this body in a previous report, the FCC strongly believes that strengthening shared governance will enhance the University's decision-making ability, and increase faculty 'buy-in' as we confront obstacles in the future.

Equity and Diversity-As you all know, this is a perennial issue before the FCC. This semester we met with a group of faculty and staff (Laura Dupont-Jarrett chief of staff for the undergraduate associate dean, CFANS, Professor L-Aurette Johnson College of Pharmacy, Holley Locher, chief of staff College of Design to discuss a document they authored with Professor Na'im Madyun entitled: *Bold Action for Equity and Diversity: Nine Critical Questions for University Leadership*. We had a terrific conversation, and look forward to continuing to engage with this issue moving forward. I would add that Professor Konstan and I had regular meetings during the previous academic year with VP Katrice Albert and I look forward to continuing to do so on an informal basis as I know Joe and Greta will on a more formal basis.

Faculty Leadership for academic year 2016-2017-Turnover in faculty leadership with the end of the academic year is a familiar theme, and this year will be no different. Having completed two years in this position, I am pleased to announce that my colleague Professor Joseph Konstan will be taking over as chair of FCC. The FCC is voting on a new vice-chair and I hope to be able to identify that individual to you personally on 8 June. The FCC will also have three new members, Tabitha Grier-Reed, and Ned Patterson who will be serving three-year terms, and Abimbola Asojo, who will be serving for one year (due to departure from the U of Ruth Okediji, who had been elected along with Tabitha and Ned). In addition, the FCC will be welcome new ex-officio members who serve on the FCC through their roles as chairs of important senate committees. I would hasten to add that while I have completed my elected three-year term on FCC, as past-chair, I am serving again next year on FCC as an ex-officio member.

I want to take this opportunity to express my sincere gratitude to the many faculty members who provided me with much needed support, advice and guidance this past year. I especially want to acknowledge the FCC vice-chair Professor Joe Konstan who was particularly helpful. As you will come to learn if you do not already, Joe is an extremely energetic, thoughtful and creative thinker. I'm thrilled that he will be assuming the responsibilities of leading the FCC and look forward very much to playing a substantially reduced role on this important committee in the upcoming academic year. I also wish to thank the members of the FCC for their support and hard work throughout the year. To an individual they were engaged, informed, and fully committed to their service on the committee. Finally, I want to recognize the professionalism, expertise, and devotion of the senate staff.

Submitted by Colin Campbell, Associate Professor of Pharmacology in the Medical School, Chair of FCC 2015-2017.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: Recognition of Faculty Consultative Committee Outgoing Chair

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson
President Eric W. Kaler

PURPOSE & KEY POINTS

To present a certificate of recognition to Professor Colin Campbell, outgoing chair of the Faculty Consultative Committee.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: Board of Regents Policy: *Code of Ethics for Members of the Board of Regents* – Annual Review

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Douglas Peterson, General Counsel

PURPOSE & KEY POINTS

The purpose of this discussion is to fulfill the requirement of Board of Regents Policy: *Code of Ethics for Members of the Board of Regents*, which directs the Board, with the assistance of the General Counsel, to publicly review annually the requirements and procedures provided in this policy.

The general counsel will review the principal elements of the policy, focusing on the definition of a conflict of interest.



UNIVERSITY OF MINNESOTA

BOARD OF REGENTS POLICY

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Board Operations

CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

Adopted: February 9, 1996

Amended: May 12, 2006; February 10, 2012

Supersedes: (see end of policy)

CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

This policy governs the activities of members of the Board of Regents (Board) of the University of Minnesota (University) regarding financial disclosure, gifts, expense reimbursement, and conflicts of interest.

SECTION I. GUIDING PRINCIPLES.

The following principles shall guide the accountability of Regents:

Subd. 1. Public Trust. The Board is responsible for the governance of the University. In carrying out this constitutionally conferred public trust, Regents must be accountable in the areas of financial disclosure, gifts, expenses, and conflicts of interest, and shall not use the authority, title, or prestige of their office to solicit or otherwise obtain private financial, social, or political benefit that in any manner is inconsistent with the public interest. In serving the people of Minnesota, Regents shall adhere to the highest ethical standards.

Subd. 2. Paramount Interest. Regents bring to their task varied backgrounds and expertise, but they are expected to put aside parochial interests, keeping the welfare of the entire University, not just a particular constituency, at all times paramount.

Subd. 3. Time Commitment. In undertaking the duties of the office, Regents shall make the necessary commitment of time and diligence to fulfill their public governance responsibilities.

SECTION II. FINANCIAL DISCLOSURE REQUIREMENTS.

Upon election to office and annually on March 31 thereafter, Regents shall file a financial disclosure statement with the executive director/secretary of the Board in a form consistent with the financial disclosure required for senior University officials. The general counsel shall review the disclosure forms for compliance with this policy.

SECTION III. GIFTS.

No Regent shall accept any gift or accommodation, except as permitted by Board policy. This prohibition does not apply to complimentary tickets to University events furnished in accordance with guidelines on file in the Board Office.

SECTION IV. EXPENSES.

Regents serve without compensation, but they are entitled to reimbursement for expenses incurred while representing the University in an official capacity in accordance with guidelines on file in the Board Office.



UNIVERSITY OF MINNESOTA

BOARD OF REGENTS POLICY

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Board Operations

CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

Adopted: February 9, 1996

Amended: May 12, 2006; February 10, 2012

Supersedes: (see end of policy)

SECTION V. DEFINITIONS.

Subd. 1. Recusal. Recusal shall mean noninvolvement of a Regent in any discussion of, and decision regarding, the relevant matter to ensure that the Regent's independence of judgment is not compromised, that the public's confidence in the integrity of the Board is preserved, and that the University's public mission is protected.

Subd. 2. Financial Conflict of Interest. A *financial conflict of interest* exists whenever a Regent, a Regent's family member, and/or a business associated with a Regent or a Regent's family member has an actual or potential financial interest or any other interest in a matter pending before the Board that may impair independence of judgment or objectivity in the discharge of the Regent's public governance responsibilities.

Subd. 3. Family Member. *Family member* shall mean a spouse, parent, sibling, child, domestic partner, or any person residing in the Regent's household.

Subd. 4. Business Associated with a Regent. *Business associated with a Regent* shall mean an organization, corporation, partnership, proprietorship, or other entity if either the Regent or a member of the Regent's family:

- (a) receives compensation in excess of \$500 in any month or has any contractual right to future income in excess of \$6,000 per year;
- (b) serves as an officer, director, partner, or employee; or
- (c) holds a financial interest valued in excess of \$10,000.

For purposes of this policy, compensation shall not include reimbursement for expenses under Section IV above, any non-employment related funds from a governmental source, investment or savings income, retirement or insurance benefits, or alimony.

Subd. 5. Financial Interest. *Financial interest* shall mean a foreseeable, nontrivial financial effect that may result from Board action.

Subd. 6. Employment-Related Conflict of Interest. An *employment-related conflict of interest* exists whenever a Regent's employment relationships may impair independence of judgment.

SECTION VI. FINANCIAL AND EMPLOYMENT-RELATED CONFLICT OF INTEREST PROCEDURES.

Subd. 1. Interpretation and Application. The conflict of interest provisions of this policy shall be interpreted and applied to best serve the interests of the University. In some cases, full disclosure and consideration of the particular facts may indicate that a potential conflict of interest is insubstantial so that the University's interests are best served by the Regent's participation. If doubt remains regarding the need for recusal, the Regent involved must elect recusal. Recusal on a particular matter because of a



UNIVERSITY OF MINNESOTA

BOARD OF REGENTS POLICY

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Board Operations

CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

Adopted: February 9, 1996

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Supersedes: (see end of policy)

conflict does not reflect adversely on the Regent involved; rather, it simply recognizes that in a complex and interconnected society conflicts cannot be entirely avoided and will occur.

Subd. 2. Disclosure or Acknowledgment of Actual or Potential Conflicts.

Actual or potential conflicts of interest shall be brought to the attention of the chair of the Board at the earliest opportunity. Such actual or potential conflicts may be reported by an individual Regent or by any other person. Disclosure or acknowledgment of such a conflict of interest and recusal shall be noted appropriately in Board minutes.

Subd. 3. Consultation with General Counsel. A Regent with a conflict of interest question is encouraged to consult with the general counsel who, if requested, shall provide a written opinion on whether a conflict of interest exists under this policy. A copy of any such opinion shall be provided to the chair. The chair also may request an opinion from the general counsel on any conflict of interest question.

Subd. 4. Disputed Conflicts of Interest. Any disputed issues relating to the existence of a conflict of interest requiring recusal shall be decided by the chair, who may choose to refer the question to an ad hoc group of Regents consisting of the chair, the vice chair, and one other Regent appointed by the chair. If the chair or vice chair is the subject of the conflict of interest dispute, another Regent shall be appointed by the ranking Regent. The chair (or the ad hoc group if appointed) shall determine whether there is a conflict of interest and report the decision to the Board; however, in all cases the Board is the final authority on conflict questions.

Subd. 5. Deliberations and Voting. Regents who declare or have been found to have an actual or potential financial or employment-related conflict of interest shall recuse themselves regarding the matter determined to be a conflict and shall not take any action to influence the outcome of the matter.

SECTION VII. CANDIDACY FOR PUBLIC OFFICE.

A Regent shall resign from the Board upon officially announcing candidacy for any partisan elective public office.

SECTION VIII. UNIVERSITY EMPLOYMENT.

Notwithstanding any other provision of this policy, a Regent shall not serve as a compensated University employee, except that the Regent elected to hold the seat designated for a student may engage in student employment at the University.

SECTION IX. ANNUAL REVIEW OF POLICY.

At the beginning of each fiscal year, the Board, with the assistance of the general counsel, shall publicly review the requirements and procedures of this policy.



UNIVERSITY OF MINNESOTA

BOARD OF REGENTS POLICY

Page 4 of 4

Board Operations

CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

Adopted: February 9, 1996

Amended: May 12, 2006; February 10, 2012

Supersedes: (see end of policy)

SUPERSEDES: Code of Ethics for Members of the Board of Regents dated October 12, 1973.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: System-Wide Strategic Plan

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

This is a report required by Board policy.

PRESENTERS: President Eric W. Kaler
 Stephen Lehmkuhle, Chancellor, UMR
 Rebecca Ropers-Huilman, Vice Provost for Faculty and Academic Affairs

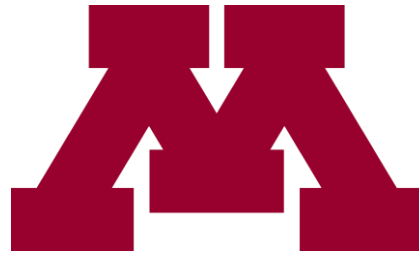
PURPOSE & KEY POINTS

The purpose of this item is for the Board to discuss and consider approval of the System-Wide Strategic Plan (plan). The discussion will emphasize the particular functionalities of the plan, including ways it serves as a connector for the campus strategic plans and the value it adds to existing efforts. The plan is designed to better align institutional resources and leverage the University’s strengths as a system. It outlines perspectives of students, staff, faculty, and administrators about the University’s current accomplishments, its aspirations for the future, the challenges that are impeding success, and ways to address those challenges.

BACKGROUND INFORMATION

The planning process formally launched in fall 2016 and has included visits to each of the system campuses, where facilitators had discussions with students, faculty, staff, and leaders. Additionally, the co-chairs met with members of Extension, the College of Continuing Education, Research and Outreach Centers, Public Engagement Council, external stakeholders, and staff and faculty governance bodies.

The Board received an update on the planning process at its March 2017 meeting, and participated in a work session on system-wide themes in December 2016. The Board also received an overview of the system-wide strategic planning process in October 2016, and heard about system-wide planning efforts at the system campuses at four meetings between March and July 2016.



Building Our Collective Future

University of Minnesota System-Wide Strategic Plan

June 9, 2017

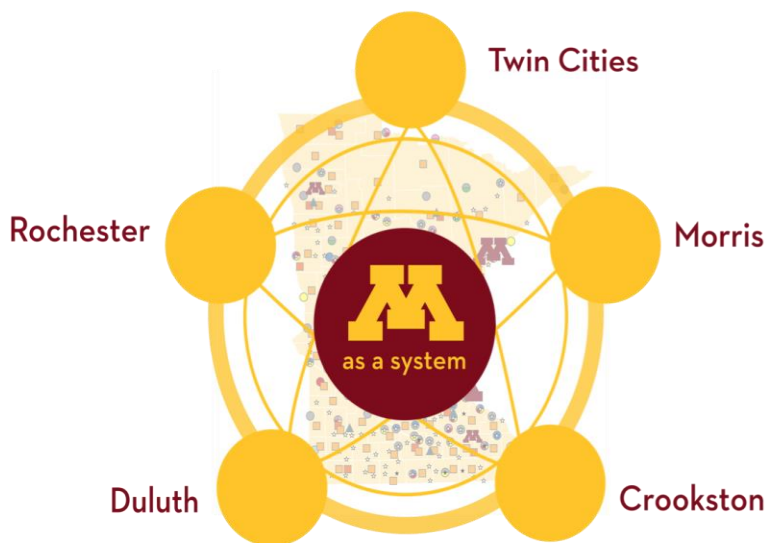
I. Executive Summary

As a System, the University of Minnesota has extensive resources to sustain and develop the state of Minnesota. Each campus offers a distinctive learning environment to equip students with knowledge and life-long skills; the resources of a globally-engaged research university provide a wealth of opportunities across the System to advance and translate knowledge and model creativity; and many units work with our broader community to address critical issues in Minnesota and throughout the world. To build our collective future, we have constructed a plan that highlights and connects the distinctive strengths and forms of excellence that exist across our University.

In this plan, we assert that excellence takes many forms that are worth our shared investment. The University of Minnesota System provides Minnesotans with access to outstanding liberal arts education, hands-on learning experiences in fields, labs, and community centers, and research and educational experiences. Through preparing educators and health care providers, providing opportunities that expand our cultural understanding and enrich our lives, and fueling economic development, these opportunities prepare future leaders and strengthen our communities.

The University of Minnesota has already built a well-established and strong presence in the state and throughout the world. Through our five campuses, classroom-based and online programs, Extension efforts in every Minnesota county, Research and Outreach Centers, and many other initiatives, the University of Minnesota enriches our communities. This plan highlights our strategic intentions related to educational development, scholarly research and creative work, and partnering with Minnesota communities. It also outlines next steps that will allow us to be even more responsive to the challenges facing our towns and cities, state, nation and world.

The System-Wide Strategic Plan is a connector plan that focuses on the distinctiveness within and comprehensiveness and distributed nature of the University of Minnesota. It draws attention to the ways in which our many forms of excellence complement each other to build our collective future.

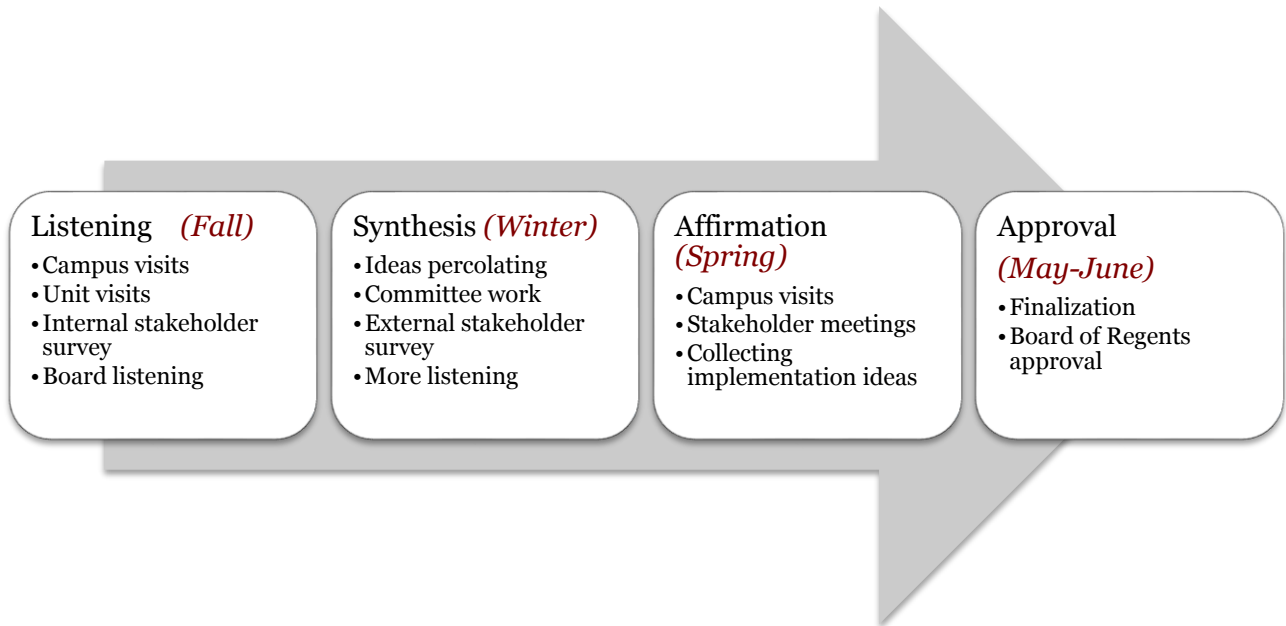


II. Process

In Fall 2016, the University of Minnesota embarked on a System-wide strategic planning effort to better align its resources and leverage its strengths as a System. Charged in October 2016 by President Eric W. Kaler, a 30-member System-Wide Strategic Planning Committee developed a plan over the 2016-17 academic year to benefit students and citizens across the state by embracing a System-wide perspective. Toward that end, we focused on the following questions:

- Who are we as a university System? What are our collective strengths and commitments? What are the unique strengths of individual campuses?
- How do we ensure that the unique areas of strength are complementary and connected within the System?
- How do we ensure that the collective and unique strengths of our campuses, Extension, and Research and Outreach Centers are accessible to, and meet the needs of, students, faculty, Minnesota communities, and other stakeholders?
- What strategic intentions should guide short- and long-term planning, decision-making, and resource allocation?

The planning process had three phases: Inquiry, Synthesis, and Affirmation, culminating in final approval by the Board of Regents in Summer of 2017.



Inquiry: During Fall 2016, the co-chairs and committee members completed visits to all five campuses as well as hosted conversations with the Board of Regents and several other stakeholder groups. They spoke with approximately 500 people about their hopes for the University of Minnesota as a System.

Major themes that emerged during this phase include:

- Faculty, staff, and students are proud of what they do.
- People on all campuses and in Extension and the Research and Outreach Centers want to be valued for the work that they do. Those on System campuses want to be more involved in planning and developing System-wide solutions.
- Faculty, staff, students and administrators lack knowledge about the contributions and unique strengths across the System. This hinders their ability to work together.
- It will be important to balance the values of innovation, effectiveness, efficiency, responsibility, and inspiration as we move into our future.

Synthesis: During Winter of 2017, the System-wide Strategic Plan Committee met in an all-day retreat and then worked together virtually to process and synthesize the input collected during the Inquiry Phase. Major themes that emerged from the Committee included:

Strengths and Opportunities	Challenges and Opportunities
<ul style="list-style-type: none"> • We are the university and workplace of choice and we have excellent students, staff, and faculty. • Our distinctiveness and comprehensiveness allow us to have a broad and deep impact. • Many administrative functions effectively support our mission System-wide. • Relative to other states, we have historically had strong state support. • We have mutually beneficial partnerships across the state. 	<ul style="list-style-type: none"> • While each campus makes a distinct and significant contribution to Minnesota, the needs and opportunities of System campuses are sometimes dwarfed by those of the Twin Cities campus. It is hard to attend to a local context within a large System. • Collaboration between System entities can be challenging. • While we have connections to many Minnesota communities, some feel we are not sufficiently connected to “main-street Minnesota.” • We need to provide support for the success of an increasingly diverse student population. • An aging infrastructure requires attention and resources.

In addition, the co-chairs completed visits with additional stakeholder groups to dig deeper into emerging themes and received survey feedback from nearly 150 external stakeholders. Top priorities for the University as a System from the external community survey included:

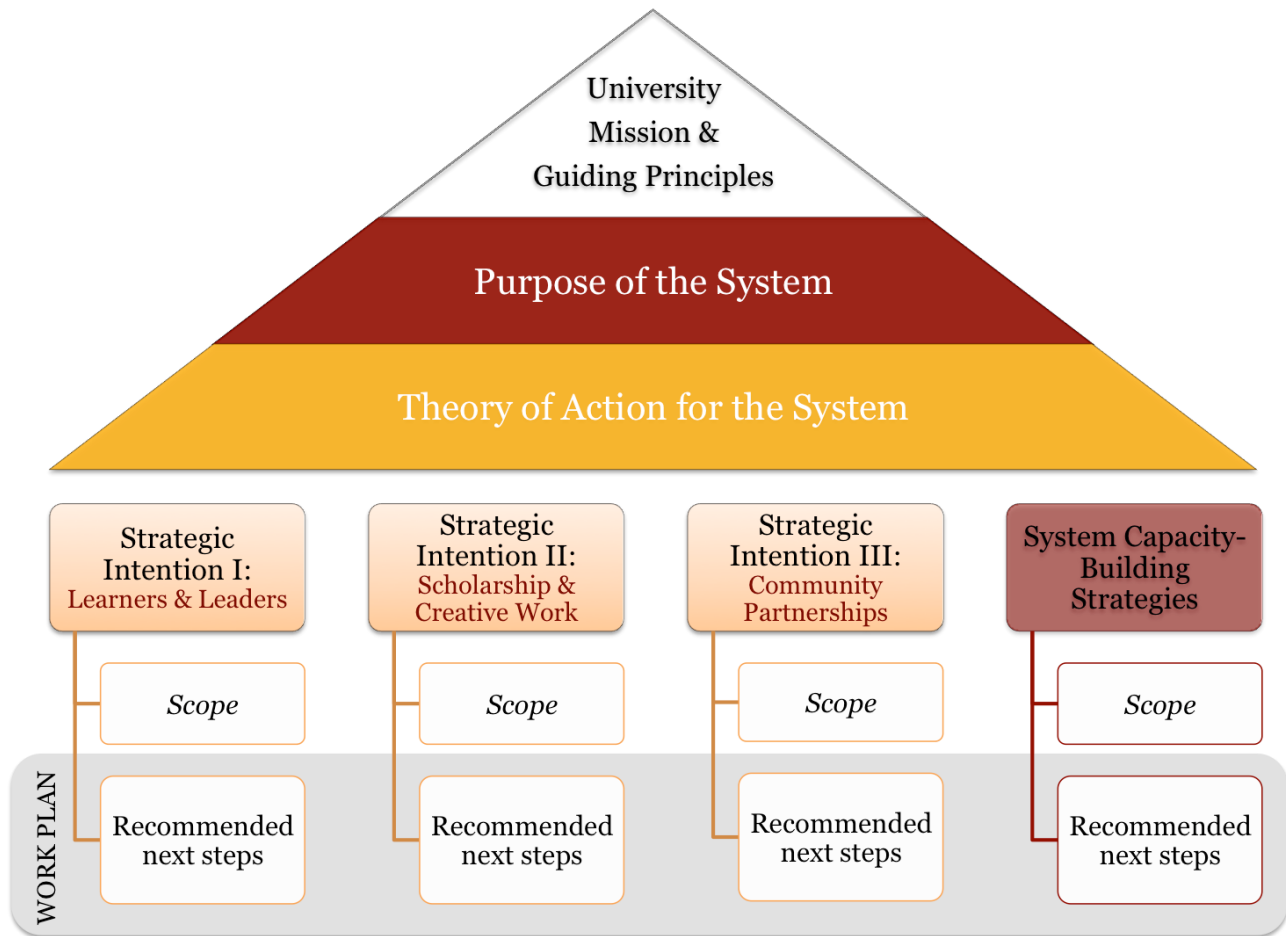
- 1) Ensure that there are robust learning experiences to prepare students on each campus to meet ever-changing workforce needs and engage in their communities.
- 2) Maintain and invest in the scholarly excellence that makes the University of Minnesota one of the world's best research universities.
- 3) Strengthen the health sciences to ensure excellence in health care in Minnesota.
- 4) Develop partnerships with industry to advance economic development in Minnesota.

The co-chairs presented a summary of the draft plan to the Board of Regents in March.

Affirmation: In Spring of 2017, the co-chairs conducted visits to all five campuses and met with additional stakeholder groups in order to gain feedback on the draft plan and consider implementation ideas. Nearly 500 University stakeholders provided feedback during this phase.

III. Plan Framework

Grounded in the University’s mission and guiding principles, the System-Wide Strategic Plan states a Purpose and Theory of Action for the System, followed by a set of Strategic Intentions and System Capacity-Building Strategies that will allow the University of Minnesota System to accomplish its Purpose and enact its Theory of Action. Next steps for the Strategic Intentions and the System Capacity-Building Strategies are recommended.



Framework definitions:

University Mission & Guiding Principles: The existing University of Minnesota mission and guiding principles were approved by the Board of Regents in 2008 and serve as the foundation for the System-wide strategic plan.

Purpose of the System: Definition of the function and rationale of the University of Minnesota System.

Theory of Action for the System: Overarching philosophy about what it will take to achieve the proposed Purpose.

Strategic Intentions: Long-range ambitions for maximizing innovation and creativity across the System and enriching the distinctiveness of our five campuses in order to achieve the desired Purpose.

System Capacity-Building Strategies: Approaches for enhancing the capacity of the University of Minnesota System to connect and appropriately network its distinctive statewide resources to achieve the Strategic Intentions and Purpose.

Work Plan: Next steps for operationalizing the Strategic Intentions and System Capacity-Building Strategies.

IV. Current University Mission & Guiding Principles

UNIVERSITY MISSION

The University of Minnesota (University), founded in the belief that all people are enriched by understanding, is dedicated to the advancement of learning and the search for truth; to the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation, and the world. The University's mission, carried out on multiple campuses and throughout the state, is threefold:

§ **Research and Discovery** - To generate and preserve knowledge, understanding, and creativity by conducting high-quality research, scholarship, and artistic activity that benefit students, scholars, and communities across the state, the nation, and the world.

§ **Teaching and Learning** - To share that knowledge, understanding, and creativity by providing a broad range of educational programs in a strong and diverse community of learners and teachers, and prepare graduate, professional, and undergraduate students, as well as non-degree seeking students interested in continuing education and lifelong learning, for active roles in a multiracial and multicultural world.

§ **Outreach and Public Service** - To extend, apply, and exchange knowledge between the University and society by applying scholarly expertise to community problems, by helping organizations and individuals respond to their changing environments, and by making the knowledge and resources created and preserved at the University accessible to the citizens of the state, the nation, and the world.

GUIDING PRINCIPLES

In all of its activities, the University strives to sustain an open exchange of ideas in an environment that:

- Embodies the values of academic freedom, responsibility, integrity, and cooperation
- Provides an atmosphere of mutual respect, free from racism, sexism and other forms of prejudice and intolerance
- Assists individuals, institutions, and communities in responding to a continuously changing world
- Is conscious of and responsive to the needs of the many communities it is committed to serving
- Creates and supports partnerships within the University, with other educational Systems and institutions, and with communities to achieve common goals
- Inspires, sets high expectations for, and empowers the individuals within its community

[Adopted by Board of Regents: January 14, 1994, Amended: February 8, 2008]

V. System-Wide Strategic Plan

PURPOSE OF THE SYSTEM

The distinctiveness of our campuses and the comprehensive and distributed nature of our System allow the University of Minnesota to be greater than the sum of its parts.

As a System, the University of Minnesota will connect and leverage its distinctive statewide resources to provide outstanding education, conduct and disseminate globally significant research, produce inspiring works of visual and performing art, and offer Extension and outreach programming that enhances the quality of life in Minnesota, the nation, and the world.

THEORY OF ACTION FOR THE SYSTEM

<i>IF WE...</i>	<i>THEN WE WILL...</i>	<i>AND...</i>	<i>AND...</i>	<i>AND...</i>	<i>LEADING TO...</i>
Recognize the University of Minnesota’s unique role in the State as “the primary state supported academic agency for research and extension services”* AND value the distinctiveness of our campuses and the comprehensive and distributed nature of our System;	Invest in each campus and its units so they can excel in their areas of unique strength;	Develop stronger collaborations and minimize internal competition;	Actively listen to, connect with, learn from and create enriching partnerships with communities;	Advance excellence in research and creativity, teaching and learning, and outreach and public service;	A System that connects and leverages its distinctive statewide resources to provide outstanding education, conduct and disseminate globally significant research, produce inspiring works of visual and performing art, and offer Extension and outreach programming that enhances the quality of life in Minnesota, the nation, and the world.

* 2016 Minnesota Statute 135A.052 Postsecondary Missions.

STRATEGIC INTENTION I: Learners & Leaders

We will support the development of learners and leaders across their lifespan to equip them to engage productively in their communities and workplaces.

- To effectively meet the needs of students, develop System-wide recruitment and enrollment strategies that focus on the fit between the campus and the student's experiences and talents in order to enhance student success and match student interest. Support intercampus transfers for students whose academic interests are best served at a campus in the System other than that on which they started.
- Expand academic pathways between undergraduate, graduate and professional programs to facilitate student success, increase recruitment and retention of students within the System, and meet the needs of Minnesota communities.
- Develop a System-wide approach to providing online learning opportunities that increase access for undergraduate, graduate and professional students to start, complete, or supplement a University of Minnesota degree. Expand potential enrollments in targeted areas where there is student demand and faculty capacity.
- Coordinate course/program offerings to facilitate access to and efficient use of System resources through a variety of instructional modes (classroom, blended, online). Using shared governance, decide on the conditions in which it is appropriate to duplicate efforts, recognizing the distinctiveness of and expertise on all campuses.
- Promote lifelong learning throughout Minnesota by assessing needs and working collaboratively across units to meet those needs and increase access to University resources. Leverage online education, Extension, Continuing Education, Research and Outreach Centers, and System campuses all of whom have established strong ties to populations across Minnesota.
- Ensure that students on all campuses receive a broad liberal education, which spans the sciences, humanities, arts and social sciences in order to increase imagination and creativity, foster empathy, and provide the basis for engaged citizenship.
- To facilitate students' abilities to enrich their communities and address local and global challenges, ensure students on all campuses have access to high-impact experiences such as first-year seminars and experiences, common intellectual experiences, learning communities, writing-intensive courses, collaborative assignments and projects, undergraduate research, diversity/global learning, opportunities to grow intercultural skills, service-learning or community-based learning, internships, or capstone courses and projects.

- Strive to support students' holistic wellbeing during their time at the University.
 - Improve structures and supports to create interdisciplinary curricular and co-curricular experiences. Foster opportunities for students, staff and faculty on each campus to conduct research, teaching, and outreach using interdisciplinary perspectives that draw on and expand disciplinary expertise.
-

STRATEGIC INTENTION II: Scholarship & Creative Work

We will facilitate scholarly research and creative work to solve problems, expand possibilities, and improve lives in meaningful ways.

- Invest in our role as Minnesota's premier producer of scholarship that expands the frontiers of knowledge. Recognize the distinctive areas of research and creativity aligned with expertise at each campus and in Extension and Research and Outreach Centers.
 - Conduct and disseminate research, to include community-based research, which is collaboratively developed and responsive to community and university needs.
 - Capitalize on our ability to provide students with basic, applied and engaged research opportunities that contribute to our collective knowledge and enrich their education.
 - Utilize technology to bring together researchers, artists and scholars across the System to exchange research ideas and form collaborations.
 - Encourage faculty exchanges to strengthen research and creative opportunities for faculty and students at each of our campuses.
 - Leverage research administrative systems (for example, through the Office for the Vice President for Research, the Executive Vice President and Provost's Office, and the Institutional Review Board) to ensure high-quality, ethical, and meaningful research. Ensure that scholarship adheres to the highest ethical standards.
 - Leverage research and creative facilities across the System to promote collaboration and maximize use of resources to enhance scholarly development. Enable transfer of instrumentation between campuses to extend the useful life of instrumentation.
-

STRATEGIC INTENTION III: Community Partnerships

We will actively listen to, connect with, learn from and create enriching partnerships with communities to address challenges and create opportunities together.

- Recognize assets present in communities and draw on those resources to forge mutually-beneficial relationships between communities and the University.
 - Promote student, staff and faculty engagement in learning and problem-solving by bringing community and University expertise together to identify, understand, and solve community challenges throughout the State.
 - Employ innovative approaches to meeting Minnesota’s workforce needs, such as building a state-wide strategy to promote ongoing learning and certification for adults.
 - Maximize the responsiveness and efficacy of the University to address the needs of diverse communities throughout Minnesota and the world. Work to build resources and partnerships that give attention to rural and urban communities, majority and minority populations, and businesses and non-profit organizations.
-

SYSTEM CAPACITY-BUILDING STRATEGY A: Campus Distinctiveness

Ensure that the distinctiveness of each campus is planned, communicated, and resourced.

- Communicate internally and externally about the successes and unique commitments of each campus according to its distinctive role in the System.
- Explain and make transparent resource allocation decisions as they relate to System priorities. Ensure that resource allocation decisions reflect the challenges of each unit/campus and consider how the System could mitigate those challenges.

SYSTEM CAPACITY-BUILDING STRATEGY B: System Strength

Ensure that the strength of the System is actively communicated with stakeholders.

- Develop and use common language for our System and its constituent parts.
- Create a web presence that prioritizes the University of Minnesota System and explicitly acknowledges the five campuses that constitute the System.

- Create a comprehensive public affairs and media campaign to illustrate the comprehensiveness of the System as well as the distinctiveness of its component parts. Emphasize unique strengths that the University offers across the System.
- Develop recruiting and enrollment strategies that emphasize the strength of the System as well as branding strategies that show the distinctiveness of each campus and the comprehensiveness of the System.

SYSTEM CAPACITY-BUILDING STRATEGY C: Inclusive Excellence

Develop systems that promote inclusive excellence.

- Create a System-wide strategy to recruit and retain diverse faculty, staff, and students. Prioritize recruitment and retention practices that support inclusive excellence throughout every employee and student group.
- Establish a comprehensive system to collect data related to our diversity efforts. Ensure that these data systematically inform decision-making.

SYSTEM CAPACITY-BUILDING STRATEGY D: System Mindfulness

Integrate System mindfulness throughout core functions and decision-making processes.

- Include an explicit focus in Board of Regents agenda-setting on how synergies within the System can best serve Minnesota.
- Identify System-wide “core values” that provide a compass for strategic decision-making and serve as the foundation for fulfillment of mission and purpose.
- Promote inclusive governance processes throughout the System. Ensure that faculty, staff, and students from across the System have structured opportunities to provide input into policies and decisions that affect their teaching, learning, living and working environments prior to those decisions being implemented. Create common administrative policies that are informed by and govern the entire System, with the exception of policies that relate to the distinctive nature of individual campuses.
- Ensure clarity of and accountability for the responsibilities of System-wide units. Develop criteria and provide rationales for types of decisions that are best made by those on a given campus/unit and those that are best made System-wide. Ensure that these decisions foreground the good of the System and that these decisions are informed by regular communication among those affected.

- Facilitate faculty and staff collaboration throughout the System to enhance sharing of scholarly, creative and administrative expertise in ways that acknowledge different circumstances. Create “System Days” once a month to facilitate communication among people in similar roles or in similar scholarly areas from across the System. System Days will provide opportunities for faculty and staff to consult with each other, build professional community and capacity, develop collaborative research, teaching, or service, participate in professional development, and provide input into System-wide decision-making. Encourage technologically-enhanced meetings and occasional hosting of System-wide meetings by each campus to ensure full integration of all campuses.
 - Facilitate faculty and staff collaboration throughout the System around shared challenges (i.e. student mental health) and use technology to leverage available resources throughout the System to address these problems.
 - Continue to implement technology to facilitate System-wide interactions, such as conference rooms with easy-to-use AV equipment, classrooms with easy-to-use ITV capabilities, and maximize use of such technology for System-wide meetings.
 - Consider faculty expertise on all campuses when forming graduate faculty and developing graduate student committees.
 - Ensure that professional development opportunities offered at one campus are available at all campuses when appropriate. Create a process wherein professional development that would meet System-wide needs is funded by System resources to ensure equity and access to those resources.
 - Identify opportunities for productive exchange and collaboration between faculty, staff and students across the System. For example, students could “study away” within the System, faculty could spend a semester on a campus other than their own, and intercampus conferences could be developed. Additionally, the Research and Outreach Centers, Extension, and the Office of Public Engagement could work across units to enrich research, teaching, creative and outreach opportunities.
-

VI. Work Plan / Recommended Next Steps

SYSTEM CAPACITY-BUILDING

Throughout the University of Minnesota System, university resources and expertise have connected to better serve our students, communities, and faculty and staff. To more directly seek opportunities as a System and leverage our distributed expertise and resources, it is imperative that we build a structure and develop tactics to identify and connect our distinctive statewide resources to improve the quality of life in Minnesota and beyond. This structure is necessary to begin the work needed to achieve the strategic intentions.

Administrative Structure

- o Appointment of a System Council whose purpose it is to facilitate communication between System units and advocate for the interests of the System. Members of the System Council will include key leaders of units with System-wide responsibilities and representatives from each campus appointed by the Chancellors and Executive Vice President and Provost. The System Council will be charged by the President to advance the Strategic Intentions and build system capacity.
- o Appointment of Co-Chairs of the System Council who work closely with all campuses and units to ensure active communication and consultation throughout the System. The Co-Chairs would be one faculty member and one administrator from two different campuses. The President, Executive Vice President and Provost and Chancellors will design the application and review process for the Co-Chair positions. The President's Office will provide staffing for the System Council.
- o The System Council, although primarily a tactical group gathered to the implement the work plan, will need to strategically manage and prioritize its work. The work plan requires a long-term and ongoing institutional commitment as the different elements of the work plan vary in complexity and readiness for implementation.
- o The System Council should work directly with the President to set its annual agenda. However, four work items related to the strategic intentions emerged with a high priority during the current planning process: 1) Increase awareness of distinctiveness of other campuses/units; 2) Create a System-wide enrollment strategy; 3) Coordinate online delivery of programs and facilitate students' access to online courses throughout the System; and 4) Identify and expand best practices for collaboration, including among and between campuses, Research Outreach Centers, and Extension.
- o The System Council Co-Chairs will participate in the meetings of the President's Senior Leadership Team to bring a System perspective to its deliberations.

- Chancellors will continue to report directly to the President. They will also continue to meet regularly as a group with the President, the Executive Vice President and Provost, Senior Vice President for Finance and Operations. This group will receive regular updates from the System Council Co-Chairs.

Engagement by the Board of Regents

- The Board of Regents should request regular updates, either to the full board or through committees, on the implementation of the work plan, including challenges and opportunities experienced throughout the University System.

Integration into the Budgeting Process

Decision-Making Rubric

- The University Budget and Finance Office should consult with the System Council in the creation of the rubric used in the Compact Process for both administrative and academic units. This consultation should be focused on examining and recommending ways for units to interact and collaborate with other units throughout the university.
- A decision-making rubric should be shaped by the Theory of Action to include a unique System perspective as part of the budgetary process. The value of including a System Rubric is to actualize the Strategic Intentions in the decision-making process. More specifically, the Rubric should establish the expectation that:
 1. The investment of current resources of the campuses and System-wide units will enhance their areas of unique strength and their distinct contributions to the System;
 2. Units requesting new resources will prioritize collaboration when collective efforts will maximize the impact;
 3. The System will minimize internal competition and unnecessary duplication, especially for programs and initiatives, such as graduate and research programs, that are resource-intensive. Decisions about duplication should consider the System's strategic priorities, programmatic distinctiveness, fiscal viability, student demand, and community need.
 4. When appropriate, units will actively listen to, connect with, learn from and develop enriching partnerships with communities.
- This decision-making rubric should be enacted both in the overall budgeting process for all campuses and units with System-wide responsibilities through the Compact process, and also by the Chancellors and unit leaders as they make budget decisions within their campuses or units.

Key Investment Areas

- o The strategic plans for each campus and unit with System-wide responsibilities will, when completed, provide the rationale and basis for investment decisions. From a System perspective, connections and collaborations among campuses and units with System-wide responsibilities that facilitate the three strategic intentions should also inform investment decisions. The following questions, when appropriate, should be addressed prior to making final investment decisions:
 1. Does the proposed initiative overlap with similar initiatives underway on any other campus or unit? If so, has input from those campuses or units been solicited?
 2. Will a proposed initiative either directly or indirectly impact the other campuses or units? If so, how can we mitigate negative effects or magnify positive effects?
 3. If the proposed initiative is collaborative, have the campuses or units involved stipulated a process to assess the effectiveness of the collaboration? When possible, any new investments in joint efforts should have sunsets and regular review processes to ensure that the proposed collaborative initiative is maximally effective.

- o The System Council would be consulted when seeking answers to these questions.

Additional System capacity building should include:

Improve System-wide Communication. Assemble the leadership from University Relations and counterparts on the System campuses, colleges, and other key units (currently called the Communications Collaborative) to:

- o Develop a common language for the System and its component units. Distribute internal and external communications about the successes of each campus, emphasizing the distinctive excellence present on individual campuses and throughout the System. Develop a process that clearly identifies campus versus System-wide communications.
- o Develop internal and external communication strategies to highlight the collective scope of the System's impact on communities in the state.
- o Work with University Budget and Finance Office to communicate processes, rationales, and outcomes related to resource allocation.

Build Intercampus Awareness. Work directly with the System Council to:

- Establish regular days each month (System days) to coordinate meetings involving faculty and staff from all campuses. In this way, staff and faculty from all campuses with similar roles and interests will gather and build the University of Minnesota community.
- Working with the Office of Institutional Compliance, launch a System-wide exercise to identify a set of shared values that can be affirmatively adopted throughout the System.
- Work with the Executive Vice President and Provost's office and the Vice Chancellors for Academic Affairs on the System campuses to develop a process to initiate intercampus scholarly conferences in areas of excellence. Facilitate the access of multiple campuses to external speakers whenever possible.
- Work with the Provost's office and the Vice Chancellors for Academic Affairs on the System campuses to manage and promote faculty exchanges, and study away opportunities for students.

Build Inclusive Excellence. Assemble leadership from the Office of Equity and Diversity, the Office of the Executive Vice President and Provost, the Graduate School, the Office of Human Resources, and the Vice Chancellors for Academic Affairs on the System campuses to:

- Build on the success of the pre- and post-doctoral diversity programs and extend them to more campuses.
- Continue to develop and expand to System campuses existing resources and strategies to recruit and retain underrepresented groups among faculty, staff, and students.
- Create a clear and transparent process to set goals, collect data related to those goals, and implement best practices for strengthening diversity across the System.

Develop Baseline Measures to Assess Current Practices and Monitor Progress.

This work would be coordinated by the System Council. Examples of useful baseline measures: The percentage of System topics on Board agenda for past year; a list of administrative units with System-wide responsibilities; the number of professional development programs accessible to all campuses and the method of delivery; report on percentage of underrepresented faculty and staff by campus; number of faculty exchanges, and additional metrics.

STRATEGIC INTENTION I: Learners & Leaders

We will support the development of learners and leaders across their lifespan to equip them to engage productively in their communities and workplaces.

Working with enrollment professionals, this work will be led by the Vice Chancellors for Academic Affairs for the System campuses, the Vice Provost and Dean of Undergraduate Education, and the Executive Vice President and Provost.

Develop a System-wide Recruitment and Admissions Strategy. The strategy should be driven by fit, market and rebrand recruitment around fit, and campus distinctiveness in order to maximize the number of the Minnesota students served by the System. Working with the admission directors from each campus, this group will:

- Examine and track the impact of the enrollment growth plan at the Twin Cities Campus on the undergraduate enrollments of the System campuses.
- Leverage the strengths of the individual campuses to advance the System by revisiting the shared application and wait-list process to ensure active communication around the distinctiveness of each system campus and the alignment of programs and environments with students' interests.
- Continue and expand System-wide approaches during college fairs and the development of recruiting materials.

Develop System-wide Retention Strategies. The same group will:

- Develop programs to recruit undergraduate students on all campuses into professional and graduate programs offered by the University of Minnesota.
- Develop academic pathways that directly connect high performing students in appropriate undergraduate programs to graduate or professional programs offered by the University of Minnesota (e.g., preferred admittance programs).
- Consider strategies to facilitate students' ability to seek re-admission or transfer within the System when a student decides not to re-enroll on the original University of Minnesota campus.

Develop a Coordinated Strategy for Online Learning for Undergraduate and Graduate Courses and Programs. Working with the Dean of Continuing Education, a Crookston campus designee representing Crookston's distance learning program, the University of Minnesota Online Steering Committee, and leaders in the Center for Educational Innovation, the Executive Vice President and Provost and the Vice Chancellors for Academic Affairs will:

- Work closely with campus and collegiate unites to coordinate needs assessments for and development of online offerings to increase accessibility and meet expressed needs. Market these offerings as a System.
- Create shared development and delivery methods, a shared curriculum or an agreed upon transfer policy when common or individual courses are delivered by different campuses that can be part of an undergraduate degree program, consider revenue sharing approaches, address multi-campus enrollment issues, and establish quality metrics and controls.

Develop Baseline Measures to Assess Current Practices and Monitor Progress.

This work would be coordinated by the System Council Co-Chairs. Examples of useful baseline measures: shared application yield rates; wait-list attrition, intercampus transfer data including exit interviews; an analysis of online learning of programming offered by academic units across the System.

STRATEGIC INTENTION II: Scholarship & Creative Work

We will facilitate scholarly research and creative work to solve problems, expand possibilities, and improve lives in meaningful ways.

Promote Research Collaborations Across the System. The Vice President for Research will coordinate efforts to:

- Connect researchers across the System with facilities and System-wide centers and institutes.
- Promote and assess the benefits of sabbatical visits across campuses.
- Consider better ways to leverage research administrative systems (for example, Sponsored Programs Administration, grants programs, and compliance) across campuses.

Leverage Research Instrumentation. The Vice President for Research and System campus counterparts will:

- Create a central exchange process to expand and support transferring of replaced instrumentation in one unit to another in order to extend the useful life of the instrumentation.
- Utilize technology to bring together researchers, scholars, and artists across the System to exchange ideas and form collaborations.

Develop Baseline Measures to Assess Current Practices and Monitor Progress. This work would be coordinated by the System Council Co-Chairs. Examples of useful baseline measures: the number of grants submitted and awarded with investigators from different campuses; an inventory of the users of research centers disaggregated by college and campus; the number of research sabbaticals within the System; and an accounting of the remaining lifespan of decommissioned research equipment.

STRATEGIC INTENTION III: Community Partnerships

We will actively listen to, connect with, learn from and create enriching partnerships with communities to address challenges and create opportunities together.

Enhance Our Community Partnerships. The System Council should assemble the Dean of Extension, Director of the Office of Economic Development, Associate Vice President for Public Engagement, with Research and Outreach Center representatives, Global Programs and Strategy Alliance staff, and leadership of Academic Health Center outreach efforts to:

- Inventory all community-based projects underway in the state denoting the nature of the project and its location.
- Identify and study the collective work done by multiple units to provide holistic approaches when partnering with communities to address their needs. Disseminate to faculty, staff, and student leaders throughout the System the best practices of multiple units working together with communities.
- Consider methods to engage more broadly faculty and students to participate in holistic approaches to partner with communities.
- Coordinate the development and delivery of certification programs and non-credit courses to address specific community educational needs.

Develop Baseline Measures to Assess Current Practices and Monitor Progress. This work would be coordinated by the System Council. Examples of useful baseline measures: a general assessment of current community-based activities: number, type, outcome, and investment. Estimate the number of faculty and student public engagements in courses across the five campuses.

CONCLUSION

This plan outlines how those of us who are invested in the success of the University of Minnesota can build our collective future. This future recognizes the critical role we play in our local communities, throughout Minnesota, and in the larger global community. Through implementing the priorities outlined in the plan, we will support the development of learners and leaders across their lifespan to equip them to engage productively in their communities and workplaces. We will facilitate scholarly research and creative work to solve problems, expand possibilities, and improve lives in meaningful ways. And we will actively create enriching partnerships with communities to address challenges and create opportunities together. We will address the critical questions of our communities and our fields of study and, in so doing, enrich the human condition. We are building on a foundation of excellence and our potential is boundless.

APPENDIX

DISTINCTIVE UNITS

Campuses

UM – Crookston
UM – Duluth
UM – Morris
UM – Rochester
UM – Twin Cities

Academic Health Center

Academic Health Center

SYSTEM-WIDE UNITS*

Office of the President

Office for Equity and Diversity
Office of Institutional Compliance
Office of Internal Audit
Office of the General Counsel
Office of Research
Office of University Relation
University of Minnesota Foundation
University Senate

Office of the Senior Vice President For Finance and Operations

Budget and Finance Office
Human Resources Office
Office of Information Technology
Office of Investments and Banking
University Services

Office of the Executive Vice President and Provost

Faculty and Academic Affairs
Global Programs and Strategy Alliance
Graduate Education
Office for Public Engagement
Office of Student Affairs
Office of Undergraduate Education
Professional Education
University of Minnesota Extension
University of Minnesota Libraries

**System-wide Unit descriptions are under development and will be completed by June 2, 2017.*

DISTINCTIVE UNITS

CAMPUSES

UNIVERSITY OF MINNESOTA – CROOKSTON

Applied, **experiential** learning
Leader in **online** education
Niche undergraduate majors

What We Mean by “Small Campus. Big Degree.” – As a campus of the University of Minnesota system, the U of M Crookston (UMC) provides access to world-class teaching, learning, and research resources—all while offering a smaller, student-focused campus setting.

A Focus on Applied, Experiential Learning – Students at UMC don’t spend all their time behind a desk; they learn the concepts and then actively apply them through projects, simulations, field trips, site visits, and interactions with professionals in the field. Community engagement, service learning, volunteer opportunities, global perspectives, and sustainability issues are also integrated into the curriculum, adding significant value to the student experience.

A Leader in Quality Online Education – UMC’s technological expertise has led to the development of fourteen degree programs offered entirely online. Motivated online students benefit from interactivity with experienced instructors and other students, independent learning, and convenience of location and time of day, allowing them to pursue their degree goals while continuing to work and meet family obligations.

Niche and Distinctive Undergraduate Majors – UMC offers a number of undergraduate majors that are unique among the campuses of the University of Minnesota: Agricultural Systems Management, Agronomy, Aviation, Criminal Justice, Equine Science, Golf & Turf Management, Horticulture, Manufacturing Management, and Software Engineering.

Students Receive Individualized Attention and Mentorship – PhD-level experts in the classroom, our faculty and staff serve as true mentors, teaching and offering personalized attention through a small student-faculty ratio and by working closely with students as advisors. This environment helps unlock student potential and serves UMC’s significant number of first-generation students in a nurturing, supportive manner.

High-Impact Educational Practices – UMC utilizes a number of such practices. Undergraduate research opportunities add real value to our students’ educational experience by allowing them to work alongside faculty mentors in the design and conducting of research. This is especially helpful if they plan to attend graduate school, which an increasing number of our students plan to do. Numerous capstone courses

culminate the student experience, and nearly every student completes an internship, which gives them the chance to experience their career firsthand, to network with professionals in their field, and to make contacts and with potential employers. An increasing number of students also take part in some of the more than 300 opportunities offered by the U of M to study abroad in 67 different countries.

Student Leadership and Engagement Opportunities – Students have numerous leadership opportunities through 40 clubs and organizations and through intercollegiate athletics at the NCAA Division II level in the Northern Sun Intercollegiate Conference (NSIC). Each club has service project requirements fostering strong community engagement.

Technological Leadership – As the original “Laptop University,” UMC provides a powerful laptop computer and software to each student. Students say the use of technology in their coursework has improved their learning, and employers frequently report how pleased they are with our graduates’ technology skills.

A Regional Hub for the U of M in Northwest Minnesota – With over 100 years of educational service, the Crookston campus serves the University’s land grant mission as a regional hub for undergraduate education, research, and outreach. With its four academic departments and many support units, UMC works to leverage and synergize with other resources located on campus including:

- The Crookston Regional Extension Center
- The Northwest Research and Outreach Center (NWROC)
- The Economic Development Administration (EDA) Center for Minnesota
- The Center for Rural Entrepreneurial Studies (CRES)
- The Northwest Minnesota Regional Sustainable Development Partnership
- The Retired Senior Volunteer Program (RSVP)

UNIVERSITY OF MINNESOTA – DULUTH**Northland
Engagement
Resilience**

Serving the people of Minnesota and beyond, the University of Minnesota Duluth takes full advantage of its Northeast Minnesota location on the dramatic shores of Lake Superior to offer a quality living and learning experience. We build upon our unique land-grant and sea-grant traditions to be an integral part of the University of Minnesota System. UMD takes pride in its collaborative programs and initiatives with other System campuses. We nurture student success in an academic culture of high expectations through a learning-centered environment characterized by innovative comprehensive undergraduate and graduate programs, student life initiatives, discipline-specific and interdisciplinary research opportunities, creative endeavors, and thriving international exchanges.

As Minnesota's second research university with both quality undergraduate and graduate programs, UMD focuses on students learning and growing through experience, critical inquiry, and interaction with other learners. Students at all levels are actively engaged in research and creative activities led by skilled and experienced faculty in all disciplines. An enhanced research presence leading to regional accomplishments will ultimately result in UMD's recognition as a world-class center of scholarly outreach. At the same time, we build upon our reputation for excellence in recreational programs, student life, and intercollegiate athletics, thereby providing a holistic experience for students.

We encourage the ability to speak honestly about issues and ourselves by fostering a campus culture that welcomes students, faculty, staff, and guests to an inclusive learning climate committed to diversity, equity, and social justice. We serve the educational needs of indigenous peoples, their economic growth, their culture, and the sovereignty of the American Indian nations of the region, the state, and North America.

UMD eagerly embraces a global future while maintaining a strong presence in the cultural, economic, and intellectual life of the Duluth community, the Northland, the state, and the nation. By strengthening and firmly establishing the centrality of international activities on and away from campus, we leverage our place within the global strategies of the University of Minnesota System. We endeavor to become and remain a model of community engagement and service, which improves the quality of life for all and deepens the understanding, meaning, and purpose of the UMD educational experience.

UNIVERSITY OF MINNESOTA – MORRIS**Intentional liberal arts focus
Student-centered and community-engaged campus
Accessible yet rigorous educational experience**

The University of Minnesota, Morris is distinguished within the University of Minnesota system by its public liberal arts mission. Faculty, staff, and students draw inspiration from the campus's unique history and its invaluable connections to the local community. As part of the University of Minnesota system, UMM serves as west central Minnesota's gateway to the University. Together, these elements distinguish UMM as a model of intellectual growth, civic engagement, intercultural competence, and environmental stewardship.

One of 30 Council of Public Liberal Arts Colleges, UMM prides itself on providing talented students from a diverse set of backgrounds with access to a rigorous undergraduate liberal arts experience that prepares them for global citizenship. Here students work one-on-one with award-winning teacher-scholars in a residential environment where learning never ends. Students, faculty, and staff partner with community leaders to enrich the region through public outreach and community engagement, offering students the opportunity to supplement their liberal arts coursework with hands-on co-curricular experiences. UMM students graduate with the necessary skills to adapt and succeed in graduate education, meaningful careers, and lifelong learning.

Although the Morris campus was founded as a Native American boarding school, the US Bureau of the Interior later turned over the building and lands of the boarding school to the State of Minnesota with the stipulation that American Indian students would be admitted under the same conditions as other students, and tuition-free. Today American Indian students comprise more than 18 percent of UMM's student body (compared to just 1–2 percent of students at four-year colleges in Minnesota and nationwide) and graduate at rates higher than the national average for four-year colleges. UMM's American Indian students represent more than 50 federally recognized American Indian tribes/Alaskan Native villages and Canadian First Nations.

After the boarding school closed in 1909, the University of Minnesota established the West Central School of Agriculture on the Morris campus. When the University announced that agricultural schools would be phased out in the late 1950s, a grassroots citizens' movement convinced the Minnesota Legislature that it would be a good investment for the state to create a distinct public liberal arts institution within the University of Minnesota system on the Morris campus. UMM opened its doors in 1960 and since has fulfilled its vision to be an affordable, intentionally small, residential, public liberal arts college.

Beyond its academic mission, UMM works closely with external partners and organizations—including the University's West Central Research and Outreach Center, U of M Extension, USDA Soil Conservation Service, and the City of Morris—to make west

central Minnesota a vibrant and resilient region. UMM led the effort to establish the Morris Model, a comprehensive campus-community partnership designed to enhance Morris's commitment to climate protection and sustainability. Over the last two decades the campus has involved more than 650 students and faculty in assisting Minnesota's small towns with local issues and developing opportunities for economic growth. UMM has earned the Community Engagement Classification from the Carnegie Foundation for the Advancement of Teaching in recognition of its many community partnerships with a large number of local and regional communities, focusing on a wide array of projects including environmental sustainability, youth programming, community and economic development, arts and culture, fitness and recreation, healthy eating, and technology.

UNIVERSITY OF MINNESOTA – ROCHESTER

Health Learning Innovation

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.

UMR Strengths: Established Arenas of Distinctiveness

Our 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 the vision and mission, and grounded in a set of core values, student outcomes, and established arenas of distinctiveness, we are engaged in strategic planning for growth 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).

UNIVERSITY OF MINNESOTA – TWIN CITIES

Ambition Breadth Engagement

The University of Minnesota Twin Cities is a comprehensive and globally engaged research university, the state’s designated land-grant institution and research university, and the flagship of the UMN multi-campus system. The UMTC’s strengths significantly expand the scope and impact of system-wide work to advance transformative research, education, and engagement benefiting Minnesota and addressing critical challenges of local and global communities. The UMTC ranks in the top ten for research activity among all U.S. public research universities, with more than \$833 million in annual research spending (out of \$850 million total for the UMN system). Its 3,100 faculty (four-fifths of all UMN faculty) include many nationally and internationally recognized scholars and researchers.

The UMTC spans 16 colleges and schools across 149 undergraduate degree programs, 171 master’s degree programs, 100 doctoral degree programs, and 9 professional programs, and is one of only five campuses in the nation with an engineering school, a medical school, a law school, a veterinary medical school, and an agricultural school. The location of the campus also has special significance: The UMTC campus is in the heart of the Twin Cities metro area, which is home to two-thirds of all Minnesota residents—and as one of the few major public research universities situated in a major metropolitan area, the Twin Cities campus also has unparalleled opportunities for cross-sector partnerships and collaborations with diverse communities.

As the flagship of the multi-campus UMN system, the Twin Cities campus leverages its exceptional strengths to advance the mission of the entire University in the following important ways:

System and academic leadership—The President and senior leadership team provide overall strategic and operational leadership for the multi-campus system. As chief academic officer, the Executive Vice President and Provost has responsibility for advancing the academic excellence of the educational and research missions of the University and for providing leadership for undergraduate, graduate, and professional education (including oversight responsibility for promotion and tenure, for policies and practices that affect academic life and faculty development, and for academic program development/revision/approval).

Academic collaborations—The UMTC leverages its strengths with those of other system campuses to develop and support academic programs that advance the University’s mission and meet state workforce needs. Examples include health sciences degree programs that unite and build academic areas of strength across campuses, and centers and institutes that provide opportunities for research and teaching collaborations involving faculty, staff, and students from across the multi-campus system.

System-wide academic/administrative support—The UMTC provides collaborative leadership and support for academic and administrative functions and services that link central offices based on the UMTC campus with functions and resources on each campus, providing efficiencies and enabling each campus to invest more in its mission-related strengths. These areas include human resources, information technology, equity and diversity, enrollment management, research advancement/ administration and technology transfer, budget and finance, central planning and institutional research, metrics and assessment, institutional relations and development, University Libraries, and other system-wide academic/ administrative leadership and support functions.

System-wide strategic Initiatives and public engagement agenda—The UMTC supports important institutional efforts that strengthen and sustain commitments to publicly engaged research, teaching, and outreach. This includes key programs based in the Twin Cities that have collaborative relationships with system campuses and communities statewide, such as Extension and the Research and Outreach Centers, as well as the system-wide activities of the Office for Public Engagement, the GPS Alliance, College Readiness, and others.

*TC Campus Strategic Plan: **Driving Tomorrow—Our Ten-Year Plan to Lead and Innovate** (<http://strategic-planning.umn.edu>)*

DISTINCTIVE UNITS

ACADEMIC HEALTH CENTER

ACADEMIC HEALTH CENTER

Health Interprofessional Research

The Academic Health Center (AHC) forms one of the largest, most comprehensive academic health centers in the nation. The AHC at the University of Minnesota is home to six colleges and schools and several AHC-wide centers addressing critical health issues. These include:

- School of Dentistry
- Medical School
- School of Nursing
- College of Pharmacy
- School of Public Health
- College of Veterinary Medicine
- Hospitals & Clinics
- Centers & Institutes

The AHC's mission is to develop and sustain a world-class academic health center, where health sciences schools collaborate to:

- Improve health across Minnesota and around the world
- Find new treatments and cures for illnesses
- Train the next generation of highly qualified health professionals

Our three-part mission of educating, discovering, and healing is called academic health.

Education and training: The AHC prepares the next generation of professionals who will improve the health of Minnesota's families and communities. About 70 percent of Minnesota's health care providers train at the University of Minnesota, including doctors, nurses, dentists, pharmacists, public health workers, and veterinarians.

Research and discovery: At the Academic Health Center, researchers, educators, and health professionals thrive in an environment where teamwork across all disciplines is valued, encouraged, and rewarded. Their drive to discover leads the way to a healthier future for everyone.

Health care: Innovations for patient care happen as a result of interprofessional collaboration across the health sciences. Physicians, nurses, dentists, pharmacists, and veterinarians working together in an academic setting develop breakthroughs that

constantly redefine health care.

The AHC’s mission benefits Minnesota by **increasing access to care, bringing research to life and serving as stewards for Minnesota’s health.**

Part of our core mission is to increase access to health care for underserved communities. We train health professionals through partnerships in every county in Minnesota, including many areas that struggle to provide access to health care. Many of our graduates go on to practice in these same communities.

We’re at the hub of innovation in healthcare, with geographical access to world-class hospitals and clinics as well as high-tech medical corporations. We are active around the world with global collaborations in research, education, and clinical care in more than 55 countries across 6 continents.

OBJ

By supporting the mission of education, discovery, and leading-edge care, the AHC aims to improve the health of people, animals, and communities across Minnesota and around the world. We bring together six disciplines—medicine, veterinary medicine, dentistry, nursing, pharmacy, public health—working together to solve some of today’s toughest challenges.

OBJ OBJ OBJ OBJ OBJ OBJ

SYSTEM-WIDE UNITS

OFFICE OF THE PRESIDENT

OFFICE FOR EQUITY AND DIVERSITY

OFFICE OF INSTITUTIONAL COMPLIANCE

OFFICE OF INTERNAL AUDIT

OFFICE OF THE GENERAL COUNSEL

OFFICE OF RESEARCH

OFFICE OF UNIVERSITY RELATION

UNIVERSITY OF MINNESOTA FOUNDATION

UNIVERSITY SENATE

SYSTEM-WIDE UNITS

Office of the Senior Vice President For Finance and Operations

BUDGET AND FINANCE OFFICE

HUMAN RESOURCES OFFICE

OFFICE OF INFORMATION TECHNOLOGY

OFFICE OF INVESTMENTS AND BANKING

UNIVERSITY SERVICES

SYSTEM-WIDE UNITS

Office of the Executive Vice President and Provost

FACULTY AND ACADEMIC AFFAIRS

GLOBAL PROGRAMS AND STRATEGY ALLIANCE

GRADUATE EDUCATION

OFFICE FOR PUBLIC ENGAGEMENT

OFFICE OF STUDENT AFFAIRS

OFFICE OF UNDERGRADUATE EDUCATION

PROFESSIONAL EDUCATION

UNIVERSITY OF MINNESOTA EXTENSION

UNIVERSITY OF MINNESOTA LIBRARIES

Detailed System-Wide Unit descriptions, which were not included in the plan, are listed below.

SYSTEM-WIDE UNITS

OFFICE OF THE PRESIDENT

OFFICE FOR EQUITY & DIVERSITY

Equity & Diversity Education & Support Compliance

The Office for Equity & Diversity (OED) envisions an institution where equity and diversity are woven into the work and the lives of every student, faculty, and staff member. OED promotes equity and diversity as core institutional values that infuse and inform thinking, policies, and practices throughout the University – from mission statements to strategic plans to student admissions to hiring, promotion, and tenure.

Through annual in-person visits to the system campuses and regular contact (i.e., phone, video conferencing, email) with faculty, staff, and administration; The Office for Equity and Diversity (OED) assists the system campuses in identifying their highest equity and diversity needs, works to triage critical resources, and works to achieve our top three strategic priorities: 1) Increasing representational diversity; 2) Improving campus climate for diverse and marginalized communities, and; 3) Leveraging strategic partnerships with internal and external communities.

The OED supports all campuses in equity education and compliance, achieving diversity in recruitment, hiring, and retention practices, and providing support for diversity professionals.

OFFICE OF INSTITUTIONAL COMPLIANCE

Administrative Policies Compliance Delegations

The Office of Institutional Compliance (OIC) with its four distinct programs, serves all the University of Minnesota campuses in the following ways.

The **University Compliance program** is charged with promoting a culture of honesty and integrity across all of the University of Minnesota campuses and ensuring the institution's ongoing compliance with laws, regulations, and policies. The chief compliance officer convenes the Executive Oversight Compliance Committee (EOCC), oversees the Compliance Partner program, conducts compliance risk assessments and manages the anonymous reporting hotline (the UReport).

The **University Policy Program (UPP)** facilitates the development of U-wide administrative policies through the lifecycle (initiation, development, and implementation of new and/or revised policies). UPP supports policy owners, the President's Policy Committee, and the responsible University officers, maintains the University-wide policy library, and provides multiple mechanisms for end user engagement.

The **Conflict of Interest (COI) Program** is responsible for the timely identification and management of individual and institutional financial conflicts of interest. The COI Program provides on-line and in-person education regarding conflicts of interest and standards governing relationships with business and oversees the financial interest reporting process.

OIC also maintains the University-wide **Delegations of Authority** system which identifies employees who have authority to approve transactions that legally obligate the University.

OFFICE OF INTERNAL AUDIT

Assurance Advice Protect Institutional Value

The Office of Internal Audit provides independent, objective assurance and advisory services designed to add value and improve the operations of all of the campuses of the University of Minnesota. It helps each campus accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. It strives to enhance and protect institutional value by providing stakeholders with risk-based, objective and reliable assurance, advice, and insight.

The scope of work of the Office of Internal Audit is to determine whether the network of risk management, control, and governance processes, as designed and represented by management, is adequate and functioning in a manner to ensure:

- Risks are appropriately identified and managed.
- Interaction between governance groups occurs as needed
- Important financial, managerial, and operating information is accurate, reliable, and timely.
- Employees' actions are in compliance with policies, standards, procedures, and applicable laws and regulations.
- Resources are acquired economically, used efficiently, and protected adequately.
- Programs, plans, and objectives are achieved.
- Quality and continuous improvement are fostered in the University's control process.
- Significant legislative or regulatory issues impacting the University are recognized and addressed appropriately.

The Office of Internal Audit considers risks broadly and includes within its scope all activity posing financial, operational, technological, regulatory or reputational risk.

OFFICE OF THE GENERAL COUNSEL

Litigation Legal Advice Counsel

The Office of the General Counsel provides counsel to the University administration system-wide on policy and legal matters, represents the University and its campuses in adversarial forums, and pursues a policy of preventative law to reduce exposure to legal risks. The OGC provides advice and services in many specialized areas, including the following:

- Employment and labor relations
- Student issues (admissions, discipline, etc.)
- Free speech, free press, freedom of religion
- Health care
- Data privacy
- Intellectual property
- Policy development and compliance
- Purchasing, contracting and external sales
- Real estate and construction
- International programs

The OGC also oversees the Office of Athletics Compliance, the Office of Records Management, and Clery Compliance.

OFFICE OF RESEARCH

Research Support Compliance Commercialization

The Office of the Vice President for Research (OVPR) supports and guides University faculty in their research efforts. OVPR staff review applications for funding, manage grant awards, oversee regulations that govern research, and evaluate the commercial potential of discoveries. The office also works to strengthen ties with business and industry partners.

Specifically the Office of the Vice President for Research:

- Provides leadership strategy, vision and direction of the **research mission**;
 - Provides numerous research administrative **support functions and services** vital to research: sponsored projects administration, technology commercialization, economic development and research pre-award support;
 - Serves as the **academic home** for major research centers;
 - Performs in an academic leadership capacity for budget planning and strategic decision making along with Provost and VP for Health Sciences;
 - Promotes and provides resources in support of innovative cross disciplinary research;
 - Provide **resources** to support the unique research and scholarly work of faculty at all system campuses;
 - Builds effective partnerships and **collaborations** to protect and advance the university's vital research interests;
 - Maximizes and builds capacity for the U research engine - **capacity builder**;
 - Leads efforts to assess and support critical research infrastructure;
 - Supports regulatory committees overseeing research protocols, such as the IRB, IACUC, IBC, and SCRO;
 - Provides compliance oversight and policy enforcement; and
 - Promotes **compliance** and meeting the **highest ethical standards** in the planning and conduct of research.
-

OFFICE OF UNIVERSITY RELATIONS

Marketing Media Government

The Office of University Relations shines a light on the driven through marketing and branding, public relations and communications, and government and community relations. U Relations leads the University's branding efforts, partnering with campuses, colleges, and units to create marketing that inspires all audiences. We are Driven to Discover. We partner internally and externally through all media and venues to tell the stories and convey the value that all campuses of the University of Minnesota delivers to our state and world. We build support among citizens and leaders across our State, in Washington D.C., in local communities, and among faculty, staff, students, and alumni.

UNIVERSITY OF MINNESOTA FOUNDATION

Central Development Office

Guided by its own vision, mission, and values, the University of Minnesota Foundation (UMF) engages the private sector to support greatness for all campuses of the University of Minnesota. Its mission: "To connect passion with possibility, inspire generosity, and support greatness at the University of Minnesota."

The University of Minnesota Foundation operates as a separate nonprofit organization with the sole purpose of supporting all campuses. It has been designated by the University of Minnesota's Board of Regents as the central development office, responsible for raising and managing private gifts.

UMF includes development professionals working in dedicated medicine and health areas, regional development, corporate and foundation relations, and University-wide giving, as well as central services staff who support the University's system-wide development enterprise through functions such as finance, information systems, prospect development, and marketing and communications.

UNIVERSITY SENATE GOVERNANCE SYSTEM

Engage Consult Coordinate & Implement

The University is considered to have one of the strongest and most active shared governance systems among large research universities, with faculty governance playing a particularly prominent role, having a successful collaborative working relationship with both the administration and the Board of Regents. The shared governance system is established in the Senate Constitution, which is approved by the Board of Regents.

Faculty, staff, and students, system-wide, participate in University Senate governance. However, because of restrictions imposed by federal and state labor law, unionized staff and the faculties who have voted for collective bargaining (Crookston and those at Duluth except the Medical/Pharmacy schools) do not participate in the governance system.

The umbrella body is the University Senate, which was established in 1912 and consisted only of faculty members until 1969, when students were given representation. In 2004, the University Senate was expanded again when professional and academic staff and civil service staff were granted representation. The University Senate now has representatives from faculty (168, including the president), students (60), professional and administrative staff (25), and civil service staff (25), for a total of 278 members when all seats are filled. The University Senate contains within it four senates: the Faculty Senate, the Student Senate, the Academic Professionals and Administrators (P&A) Senate, and the Civil Service Senate.

Much of the work of the Senates is conducted through their committees. Each Senate has an executive committee: the Senate Consultative Committee (SCC), the Faculty Consultative Committee, (FCC), the Student Senate Consultative Committee (SSCC), the P&A Consultative Committee (PACC), and the Civil Service Consultative Committee (CSCC). Among the University, Faculty, Student, P&A, and Civil Service Senates, there are 22 standing committees (apart from the 5 consultative committees) and 14 standing subcommittees. Much of the governance work is done through these groups. Most committees have faculty, P&A, student, civil service, retirees, ex officio, and, where appropriate, alumni members; committee members may, but need not be senators, and most committee members are selected by the broadly representative Senate Committee on Committees. There are typically several ad hoc subcommittees appointed each year, as well.

The scope of authority of the senates and their committees is specified in the [University Senate Constitution, Bylaws, and Rules](#).

SYSTEM-WIDE UNITS

Office of the Senior Vice President For Finance and Operations

BUDGET AND FINANCE OFFICE

Stewardship Strategic financial leadership Mission-support

The Budget and Finance Office provides leadership and accountability for short- and long-term financial planning, forecasting, analysis, management, and financial oversight for all campuses of the University of Minnesota.

The Budget Office provides system-wide leadership for biennial budgeting, capital budgeting, and creating the annual operating budget. The primary responsibility of Budget and Finance is to coordinate, manage and develop all aspects of the operating budget.

Debt Management issues debt to fund various capital projects, including land and building purchases. The issuance process and post-issuance compliance is the responsibility of this office.

Institutional Analysis supports stakeholders with institutional knowledge, expertise, and data-driven, user-focused perspectives for all campuses. They strive to deliver data, content, communications, reporting, analysis, and research with the right information at the right time, to assist the community in gaining insight and making data-driven decisions at all organizational levels.

As with all other finance functions, the Controller's Office serves and is responsible for supporting departments, colleges, and campuses in their financial operations.

The University of Minnesota's Real Estate Office provides services including leasing, licensing, purchase and sale of real estate, and permits for all property.

The University Tax Management Office is a consulting office that supports all departments with their business tax needs.

HUMAN RESOURCES OFFICE

Recruit & retain Leadership & talent development Infrastructure

The Office of Human Resources (OHR) works strategically and partners with campuses to create a diverse workplace where people are engaged, connected, thriving and achieving. OHR supports talent acquisition, provides leadership and talent development, manages labor and employee relations, supports the delivery of total compensation which is inclusive of salary and benefits, and operates a human resource management system to maintain employee data and deliver payroll. OHR partners with human resource leads from campuses to create a human resource system where employees are managed at the local level and OHR provides the policies and infrastructure to support their employment needs.

OFFICE OF INFORMATION TECHNOLOGY

Enterprise technologies Governance Support

The Office of Information Technology (OIT) is the University's central IT unit and provides enterprise-level technologies that are broadly consumed, core to central administrative business operations, and tend to offer substantial economies of scale.

These services are governed and delivered with extensive feedback and guidance from across the University through the IT Governance process. Local or collegiate IT units often offer discipline-specific, niche and complementary services to the 21 central services.

Led by a system officer, the Office of Information Technology provides technology services and support for all campuses. Broadly, these services can be categorized as:

- Academic Technology Services
- Administrative Computing Services
- Communications and Collaboration Tools
- End User Support
- Infrastructure Services
- Information Security

Some services within these categories are geographic-dependent, resulting in an aligned local instance of the service on individual campuses.

See [this listing of technology services and service offerings](#) for more detail.

OFFICE OF INVESTMENTS AND BANKING

Central bank Investment management

The Office of Investment and Banking (OIB) functions as the steward of all University funds. The core objectives are to manage the assets across all sources of capital by developing financial structures and processes, strategies, and solutions focused on safeguarding assets, optimizing liquidity, and maximizing investment returns. All bank account responsibility, cash management, external debt management, and investments are coordinated by OIB in a consolidated approach. This centralized management of financial resources allows the University to act in the long-term interest of the institution to generate on-going financial support, meet current financial obligations, while maintaining flexibility to support the research, education and out-reach missions of faculty and staff.

UNIVERSITY SERVICES

Physical environment Capital planning Health, safety and emergency management

University Services is responsible for creating and sustaining a physical environment and service culture that supports and advances the teaching, research and outreach mission of the University of Minnesota System. We are the people behind the scenes that help make the each campus work each and every day. Depending on the unit, University Services may provide direct service to some or all of the system campuses or expert support for a particular issue. Our units include the following:

Auxiliary Services includes Housing and Residential Life, Contract Administration (University Dining Services, U Card, and Vending), Parking and Transportation Services, the Bookstores, and U Market Services, Printing Services, and Addressing and Mailing. It offers convenient, customer driven and cost-effective goods and services that are essential to the University's academic and administrative success. Contract Administration, Bookstores, UMarket Services, Printing Services, and Addressing and Mailing provide direct service to the some/all of system campuses.

Capital Planning and Project Management (CPPM) has system-wide responsibility for planning, designing and constructing new and existing buildings and utility infrastructure as well as high-quality campus master planning. CPPM provides direct service to the system campuses.

Facilities Management is responsible for all grounds, buildings and the energy management needs of the nearly 24 million square feet in more than 280 buildings across 900 acres in the Twin Cities. FM provides issue-based support to the system campuses such as engineering support for utility planning or condition assessments. FM also is leading the system-wide effort to develop a comprehensive enterprise asset management system.

The Department of Public Safety provides the Twin Cities Campus with a full service, professional police department and dispatch center, as well as the University of Minnesota system-wide community with security monitoring services.

University Health and Safety monitors and proactively assesses the physical environment to ensure safe and healthy working and living conditions, for students, staff, and faculty and community neighbors. University Health and Safety provides direct service to the system campuses in the areas of: Building Codes, Biosafety and Occupational Health, Environmental Health and Safety, and Radiation Safety.

University Services Management Services supports the operations of University Services. In addition, direct service is provided to system campuses related to emergency management and facilities management payroll.

SYSTEM-WIDE UNITS

Office of the Executive Vice President and Provost

The Executive Vice President and Provost (EVPP) is the chief academic officer of the University of Minnesota multi-campus system and provost for the Twin Cities campus, with overarching responsibility for fostering the academic excellence of the educational and research missions of the University and providing leadership for undergraduate, graduate, and professional education.

The EVPP has system-wide oversight responsibility for promotion and tenure, for policies and practices spanning all operational areas that affect the academic life of the university and faculty development, and for the development, revision, and approval of academic programs. The EVPP plays a collaborative leadership role for the University's academic planning and budgeting process, for academic technology, and for capital planning. As UMTC provost, the EVPP further has responsibility for managing the colleges, schools, and academic units of the Twin Cities campus and for advancing academic mission through the vice provostial areas. The EVPP also has responsibility for implementing the Twin Cities campus Strategic Plan, *Driving Tomorrow*.

The EVPP works with the president, chancellors, and other leaders to leverage strengths across the multi-campus system to support and strengthen the five distinct campuses—each of which brings distinctive history, vision, and strategy for contributing to excellence in ways that bring value to students, the region and the state, and our nation and globe.

VICE PROVOSTIAL UNITS

FACULTY & ACADEMIC AFFAIRS

Promotion and tenure Faculty climate Leadership development

Faculty and Academic Affairs develops, supports, and celebrates diverse faculty and academic leaders who advance excellence and innovation in research, teaching and service and who benefit the state, the nation, and the world.

Specifically, Faculty and Academic Affairs:

- Ensures robust processes for faculty review and recognition, including facilitating the promotion and tenure process for the Twin Cities, Rochester, Morris and Crookston campuses, university-wide recognition and awards processes, and campus and unit adoption and use of our faculty reporting system WORKS;
- Provides guidance and assistance in development and implementation of policies related to faculty;
- Initiates and supports faculty and leadership development opportunities including collaborating with Human Resources to advance leadership development opportunities;
- Enhances diversity, equity, and an inclusive climate by collaborating with OED and other units to recruit and retain a diverse faculty and advance equity initiatives related to faculty;
- Supports academic administrators in addressing faculty concerns and responding to requests for support in addressing complex faculty problems;
- Meets with faculty governance and faculty leaders and facilitates communication between faculty and administrators to promote shared governance; and
- Supports innovative teaching and learning through the Center for Educational Innovation.

GRADUATE EDUCATION

Graduate education Graduate students Postdoctoral trainees

The Graduate School is a system-wide service unit that provides support for graduate education, graduate students and postdoctoral trainees on the Twin Cities campus as well as the fifteen graduate programs based on the Duluth campus, and several graduate programs that are administered by Twin Cities units have graduate students located in Duluth and Rochester. Although professional students are supported primarily by their college and are not the responsibility of the Graduate School, many of the Graduate School's programs welcome participation by professional students.

The Graduate School:

- Manages a centralized graduate admissions system for nearly all graduate programs,
 - Oversees the development of graduate education policies,
 - Recognizes and rewards excellence in graduate education and postdoctoral training,
 - Provides resources that encourage best practices to graduate programs and graduate faculty,
 - Promotes diversity, equity & inclusivity in graduate education, and
 - Helps attract external funding, and expands opportunities to support graduate education.
-

UNDERGRADUATE EDUCATION

Systems and supports Undergraduate research Policy and compliance

The Office of Undergraduate Education is comprised of several offices that provide high-level support for undergraduate education on all the campuses.

Office of Classroom Management (OCM) supports the Astra Schedule system. OCM maintains Astra Schedule for all system campuses, which has an interface with PeopleSoft/ Collaborative Class Scheduling (PS/CCS) that synchronizes room assignments between the two systems, ensuring no rooms are double-booked.

The **Office of Student Finance (OSF)** manages the entire lifecycle of student finances for all University of Minnesota students. OSF calculates financial aid eligibility and manages the awarding, origination, and disbursement of financial aid as well as billing, accounts receivable, student loan entrance and exit interviews, and loan and account collections.

ASR-IT supports provides business analysis, project support, and systems support to the all the campuses, including student finance, financial aid, student records processes, business case development, project management, and web and report development. ASR-IT provides all of these services to staff on all campuses and is available for consultation on an as-needed basis.

The **Office of the Registrar (OTR)** manages all aspects of current and historical student academic records for all campuses. As stewards of the University's academic records, we ensure accuracy and integrity, protect student data, and enforce the standards set by University policies and procedures, and state and federal laws.

Continuity & Compliance provides student records communication, compliance, degree audit, policy, and training services for all campuses.

Academic Support Resources (ASR) serves as the policy contact or owner for many of the University's Education & Student Life policies as well as administers Destiny One, a business software solution for nontraditional higher education.

The **Undergraduate Research Office** promotes the participation of undergraduate students on all campuses with the research enterprise, by helping students find mentors, and helping faculty to engage undergraduates in their research, creative, and scholarly work. We also manage for all campuses the Undergraduate Research Opportunity Program (UROP), which pays students a \$1,500 scholarship to work with a faculty member on a research project. Similar programs offer scholarships for students doing research while studying abroad (IUROP).

STUDENT AFFAIRS

Student life Partnership

The Vice Provost for Student Affairs and Dean of Students at the Twin Cities campus works with the Vice Chancellors of Student Affairs/Student Life on the other campuses to identify macro and micro challenges and trends on our campuses. Macro challenges and trends on our campuses include, but are not limited to, retention, persistence, and graduation rates; technology, affordability and costs, and shifting student demographics. Micro challenges include health and wellbeing, specifically mental health and financial wellness; alcohol and other drugs, Title IX/Sexual Misconduct, food and housing insecurities, campus climate and crisis response. The vice provost and vice chancellors collaboratively strive to develop approaches and strategies to support student well-being and success and to ensure operational excellence for the system.

UNITS SUPPORTING SYSTEM-WIDE ACADEMIC MISSION

GLOBAL PROGRAMS AND STRATEGY ALLIANCE

Internationalizing the student experience

Immigration

International travel

Health, safety, and compliance

The Global Programs and Strategy Alliance (GPS Alliance) is the central international office for the University of Minnesota system. The GPS Alliance is the driving force for the University in globalizing teaching, learning, research, and engagement. The GPS Alliance supports the University's mission by working closely with campuses, colleges, units, faculty and staff, students, and the community to comprehensively internationalize the University of Minnesota.

The GPS Alliance supports the University community in the following ways:

- **Immigration Response Team** provides immigration education, outreach and information related to emerging travel/security/visa/status concerns.
- **Internationalizing the Curriculum and Campus (ICC) team** supports faculty and instructors on all campuses with course design for significant global learning, and administers the Internationalizing the Teaching and Learning Faculty Cohort Program, offered in partnership with the Center for Educational Innovation. The ICC team also administers the system-wide International Travel Grant Program that provides small grants to faculty and P&A staff for international travel, and hosts the biennial Internationalizing the Curriculum and Campus Conference
- The **International Health, Safety and Compliance (IHSC) team** provides: health and safety training for education abroad program leaders; health and safety pre-departure orientation for all U of M students traveling abroad; the 24/7 emergency call center for any international emergency call; management of both the Faculty/Staff and the Student International Travel Registries; coordinated duty of care services in case of international emergencies; management of the International Travel Risk Assessment and Advisory Committee process which seeks to educate and prepare students for travel to countries deemed at risk by the U.S. State Department; and support to offices and units planning student opportunities abroad through a review of all international contracts in conjunction with the Office of General Counsel
- The **Learning Abroad Center** indirectly provides student study abroad support through work with faculty and staff on the system campuses. The LAC does continuous training, and provides information about policy updates or changes relevant to

taking/sending students abroad. The LAC passes on program fee reductions (earned through the volume of students participating from the TC campus), to participants on the other campuses.

- **International Student and Scholar Services** provides visa and other support for students, scholars, and faculty on system campuses needing assistance with the following visas: H1-B, J Scholar, J Student Interns, and Permanent Resident (tenure track faculty).
 - A part of the GPS Alliance's China Center, the UMN **China Office** in Beijing provides assistance to U of M faculty and staff to support their business in and with China.
 - The **Confucius Institute** supports satellite offices on the Crookston and Morris campuses.
-

INSTITUTE FOR ADVANCED STUDY

Interdisciplinary collaboration Critical engagement

As a University-wide interdisciplinary center, the Institute for Advanced Study supports and encourages interdisciplinary and collaborative work across and beyond the boundaries of the University's multi-campus system. The IAS brings people together across all of the University's colleges and campuses, transcending disciplinary and institutional boundaries, to support innovative research and creative activity, facilitate collaboration, foster critical engagement with issues and ideas, build generative relationships between the University and local and global communities, and engage complex problems facing the state, nation, and globe.

The IAS core programs include residential fellowships and research and creative collaboratives engaging faculty and graduate students across the system, as well as symposia, public events, and other activities.

OFFICE FOR PUBLIC ENGAGEMENT

Community-partnered research Community-engaged learning opportunities Community engagement culture

The Office for Public Engagement (OPE) is a system-wide office that was established in 2005 to promote, oversee, and help fully institutionalize a 21st Century approach to public engagement. OPE's primary role is to advance the policies, infrastructure, and institutional culture that allow public engagement efforts to thrive within and across units across all five campuses. OPE works with academic and administrative units across the system to implement programs, strategies, and initiatives that allow all forms of public engagement to become more fully integrated in the campus's research and teaching agendas.

The OPE also works across the system to support faculty, departments, and colleges to conduct community-partnered research and support engagement in teaching through internships, social entrepreneurship, service-learning, clinical practice; etc. The OPE provides professional development opportunities for leaders (directors, managers) or engagement-focused units and supports faculty development efforts for engaged scholars. OPE also facilitates a series of awards to honor and acknowledge faculty, staff, students, and community partners who contribute to the advancement of public engagement.

PROFESSIONAL EDUCATION

Professional education support Coordination Advocacy

The Special Assistant to the Provost for Professional Education is charged with the continuing implementation effort to realign graduate and professional education at the University. The Special Assistant is responsible for collaborating with collegiate leaders in identifying opportunities and challenges relating to professional education and help develop strategies as well as leverage resources to address these issues. The Twin Cities and Duluth campuses, which offer professional programs are included.

UNIVERSITY OF MINNESOTA EXTENSION

Science-based Statewide Engagement

University of Minnesota Extension enhances the University's land-grant mission by addressing critical public issues through teaching, research and outreach. Its presence in every county ensures that University research and education is accessible to all Minnesotans. Extension faculty, staff and volunteers live and work across the state, listening and collaborating to develop and deliver relevant, practical and valued information.

As Minnesota becomes more diverse and as educational technologies evolve, Extension responds to these challenges and opportunities with innovation and investment in new ways of delivering research-based information.

Extension measures its value through outputs, outcomes and impacts in crucial areas of societal value, including **vibrant communities; thriving youth; healthy food, water and agricultural systems; and stronger families.**

UNIVERSITY OF MINNESOTA LIBRARIES

Library systems Content licensing Minitex

The principles governing libraries' collections and services for the University of Minnesota system assume that each campus has distinct academic programs and, therefore, each campus library reports to the relevant campus academic administrator and develops its programs and services to meet those distinctive needs. Where economies of scale can be achieved by means of UMTC resources, the University Libraries provides support to all campuses for knowledge resources, information systems and technologies, and expertise.

The University Libraries provides critical infrastructure services and capacities to all campuses: enterprise library systems, collection storage in the MN Library Access Center (currently at capacity), and negotiating licenses for shared digital content where feasible. University Digital Conservancy, publishing platforms, and digital media support are made available to all campuses.

All campuses benefit from Minitex, a division of the University Libraries funded by the state to support Minnesota's libraries. In addition to collection sharing and rapid delivery, Minitex provides a significant body of licensed publications and databases through the [Electronic Library of Minnesota](#) (ELM), including thousands of journals, newspapers, and ebooks, available to all residents of Minnesota. Minitex also directs the state-wide [Minnesota Digital Library](#), digitizing and providing access to unique collections from over 190 cultural heritage organizations in Minnesota.

Building Our Collective Future

A System-Wide Strategic Plan for the University of Minnesota

President Eric Kaler

Chancellor Stephen Lehmkuhle (*co-chair*)

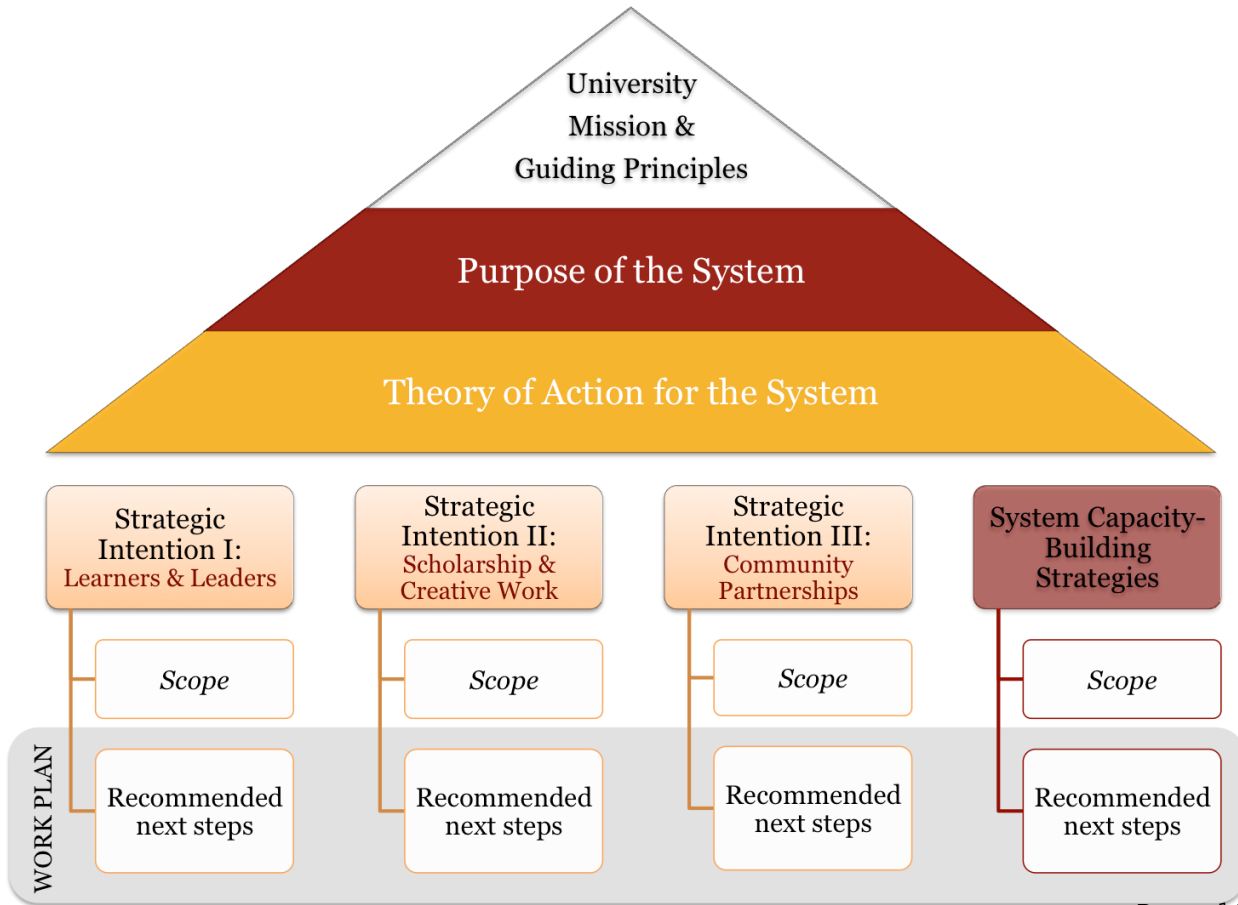
Vice Provost Rebecca Ropers-Huilman (*co-chair*)

June 9, 2017



UNIVERSITY OF MINNESOTA
as a SYSTEM

PLAN FRAMEWORK



System-wide
Strategic Plan:
Proposed Plan

June 9, 2017



Strengths of *Building Our Collective Future*

This plan identifies many high-impact changes we can make that have strong support from across the System.

This plan advances our Land Grant mission by affirming our commitment to serving communities throughout Minnesota and ensuring access of Minnesotans to a range of excellent educational opportunities.

This plan demonstrates how connections among and between units can help the University of Minnesota become more than the sum of its parts.

This plan clarifies the roles of those who have System-wide responsibilities to ensure that their efforts are ideally and responsively serving the entire System.

*Building Our
Collective Future*



Serving the needs of Minnesota

System-wide
Strategic Plan:
Proposed Plan

June 9, 2017



Questions and Discussion



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: President's Recommended FY 2018 Annual Capital Improvement Budget

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

This is a report required by Board policy.

PRESENTERS: President Eric W. Kaler
 Brian Burnett, Senior Vice President for Finance & Operations
 Michael Berthelsen, Interim Vice President, University Services

PURPOSE & KEY POINTS

The purpose of this item is to consider action on the 2018 Annual Capital Improvement Budget (capital budget). The University adopts a capital budget that authorizes projects costing more than \$500,000 to begin design and construction during the upcoming fiscal year.

The 2018 capital budget authorizes projects totaling \$275,520,000. Approximately 44 percent of the capital budget is state debt from the University's 2017 State Capital Request (\$119,934,000.) The remaining 56 percent supports the University's share of state-supported projects as well as University-funded capital improvements.

The capital budget reflects the planning priorities established by the Six-Year Capital Plan. Funding pools categorized as Repair and Replacement (R&R) or Higher Education Asset Preservation and Replacement (HEAPR) include projects intended to extend the life and functionality of existing University facilities and infrastructure.

BACKGROUND INFORMATION

Board of Regents Policy: *Reservation and Delegation of Authority* requires that all capital projects with a value greater than \$500,000 in either design or construction be included in the capital budget. In order to be included in the capital budget, the project must be approved by the respective vice president or chancellor, have completed an appropriate level of planning (typically a predesign), have all required funding identified, and be ready to proceed if approved by the Board. These requirements lead to better projects, but also exclude from the capital budget some important projects still in development. As these projects meet the Board's criteria, they will be presented as capital budget amendments.

PRESIDENT'S RECOMMENDATION

The President recommends approval of the FY 2018 Annual Capital Improvement Budget and reaffirmation of its prior year capital expenditure authorization.

FY2018 ANNUAL CAPITAL BUDGET

University of Minnesota

UNIVERSITY OF MINNESOTA

Annual Capital Improvement Budget

Project Description Report

The following project information sheets, ordered by file number, provide brief descriptions of each project.

UNIVERSITY OF MINNESOTA

Project Description Report

3340 HEAPR

Vice President: University Services

Campus: Systemwide

Facility: Systemwide

Total Cost: \$20,600

Description: The funds authorized will be used system-wide to maximize and extend the life of the University's existing physical plant. Individual projects will fall into one of four broad categories – Health and Safety, Building Systems, Energy Efficiency, and Utility Infrastructure. The system-wide HEAPR advisory committee makes recommendations on individual projects to the Vice President for University Services using data from the Facility Condition Assessment and Building Code Deficiency Report.

RRC: Facilities Management

RRC Contact: Brian Swanson

Project Manager: Andrew Chan

3341 Chemistry and Adv. Materials Science

Vice President: Duluth Campus

Campus: Duluth

Facility: New Facility

Total Cost: \$42,401

Description: This project will construct approximately 58,000 square feet of research & instructional laboratories, teaching space, offices, and meeting space for the Swenson College of Science and Engineering for the Duluth Campus. The building will be three stories with a mechanical and electrical penthouse. The research laboratory space will consist of flexible wet and dry labs with adequate utilities, environmental controls, and modern safety accommodations. It will serve the needs of evolving research and teaching pedagogy. The project had prior authorized funding of \$2.25M. The total project budget will be \$44.7M.

RRC: Duluth Campus

RRC Contact: Lendley Black

Project Manager: John Rashid

3342 Health Sciences Education Center

Vice President: Academic Affairs

Campus: Twin Cities

Facility: New Facility

Total Cost: \$100,000

Description: This project will construct a new education and training facility for the Academic Health Center to support interdisciplinary team-based learning and care. The new facility will include active learning classrooms, simulation centers, collaboration space, studios, and inter-professional lounges. The design calls for a new 5-story, approx. 142,000 GSF building and interior renovation of approx. 52,000 GSF on 3 floors of the Phillips-Wangenstein Building (PWB). The total project will affect 194,000 GSF. This project will demolish the existing Masonic Memorial Hospital and the VFW Cancer Center buildings. This project received prior authorization for design funding in the FY16 Annual Capital Budget.

RRC: AHC Shared Units

RRC Contact: Brooks Jackson

Project Manager: Trevor Dickie

UNIVERSITY OF MINNESOTA

Project Description Report

3343 Plant Growth Research Facility

Vice President: Academic Affairs

Campus: Twin Cities

Facility: Plant Growth Facility

Total Cost: \$6,600

Description: This project will construct a new approximately 12,000 square foot greenhouse addition to the Plant Growth Facilities for the College of Biological Sciences Conservatory and demolish the existing Biological Sciences Greenhouse on the St Paul campus. The new greenhouse will be furnished with modern temperature, humidity, and lighting controls. It will be monitored via the master greenhouse campus control system. Upon completion, plant specimens and program activities currently housed in the existing Biological Sciences Greenhouse will be moved to the new facility and the old greenhouse will be demolished.

RRC: College of Biological Sciences

RRC Contact: Valerie Forbes

Project Manager: Trevor Dickie

3349 Classrooms Phase 3

Vice President: Academic Affairs

Campus: Twin Cities

Facility: Mondale Hall

Total Cost: \$885

Description: This project will modernize classrooms 20, 30, 40 and 50 within the sub-plaza level of Mondale Hall. Total project area is 7,854 GSF. This project represents the third phase of investment in classroom upgrades in Mondale Hall. Phase 1 addressed classrooms 1, 3, 5, 7 and 9. Phase 2, renovating classrooms 15, 35, 45, 55, and 65, is underway and will be complete for the Fall of 2017.

RRC: Undergraduate Education

RRC Contact: Jeremy Todd

Project Manager: Jim Litsheim

3350 R&R - Student Affairs

Vice President: Academic Affairs

Campus: Twin Cities

Facility: Multiple

Total Cost: \$3,190

Description: Funds authorized in this request will be used for facility infrastructure improvement and repair and replace projects including for Boynton West Wing Fire Suppression, Recreation and Wellness Fieldhouse Floor Replacement and West Bank Skyway Water infiltration Repair

RRC: Student Affairs

RRC Contact: Danita Young

Project Manager: Multiple

UNIVERSITY OF MINNESOTA

Project Description Report

3352 Softball Field Artificial Turf

Vice President: Academic Affairs

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$700

Description: This project will add artificial turf to the softball site equivalent to a 1/2 sized soccer field. This would help maximize the use of the fields for intramural sports (softball, flag football, soccer, ultimate disc) and Sport Club practices (soccer, lacrosse, rugby) without damage that we get on natural turf. With the limited fields available and high demand for fields from the students; additional field capacity is required.

RRC: Student Affairs

RRC Contact: Karen Lovro

Project Manager: Trevor Dickie

3356 History of Science & Tech Relocation

Vice President: Academic Affairs

Campus: Twin Cities

Facility: Shepherd Labs

Total Cost: \$798

Description: This project will renovate a portion of the 5th floor of Shepherd Laboratories to house the History of Science & Technology department. The department will relocate from the first floor of the building to accommodate the renovation of the 1st and 2nd floors for the College of Science and Engineering robotics lab. Total project area is 4,137 GSF. The renovated space will provide private faculty offices, open office graduate workstations, conference rooms and shared department amenities including focus rooms, computer room, open collaboration, reference library and a kitchenette. Accessibility upgrades will include a family style toilet as part of the program.

RRC: College of Science and Engineering

RRC Contact: Mos Kaveh

Project Manager: Paul Oelze

3359 MDT Research Suite Remodel

Vice President: Academic Affairs

Campus: Twin Cities

Facility: CMRR

Total Cost: \$847

Description: This project will remodel and make ready the former radiochemistry research suite for Dr. Prakash

RRC: AHC Shared Units

RRC Contact: Kamil Ugubil

Project Manager: Julee Taylor

UNIVERSITY OF MINNESOTA

Project Description Report

3361 Institute for Health Informatics Remodel

Vice President: Academic Affairs

Campus: Twin Cities

Facility: PWB

Total Cost: \$2,381

Description: This project will convert approx. 9,900 GSF of outdated clinic space on the 8th Floor of the Phillips-Wangensteen Building (PWB) into new offices for the Institute for Health Informatics (IHI). This project will consolidate the department from existing and temporary locations in Diehl Hall and on PWB floor 6. The renovated space will include private offices and open workstations for 60 faculty and staff, a 12-person conference room, break rooms and 22-person conference/classroom space. New mechanical, electrical and plumbing will be installed.

RRC: AHC Shared Units

RRC Contact: Constantin Aliferis

Project Manager: Julee Taylor

3366 Weight Room Remodel

Vice President: Intercollegiate Athletics

Campus: Twin Cities

Facility: Mariucci Arena

Total Cost: \$2,335

Description: This project will renovate 8,500 SF for an strength training area in Mariucci Arena to allow all Intercollegiate Athletics' student athletes to maximize their potential through strength training, skill development and proper nutrition. This project is the 2nd phase of a 51,000 SF renovation of Mariucci Arena which includes renovated locker rooms, ice rink replacement and the creation of a new M (Alumni) Club and large Storage Area. The phase 1 locker room renovation was completed in September 2016. Athletic equipment and branding will be installed by Athletics after the project is completed.

RRC: Intercollegiate Athletics

RRC Contact: Scott Ellison

Project Manager: Trevor Dickie

3367 R&R - Housing & Residential Life

Vice President: University Services

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$9,507

Description: Funding authorized in this request will be used for facility and infrastructure improvements, and repair and replacement projects in the residence halls, apartments and family student housing units on the Twin Cities campus. Notable investments in facilities for FY18 include Middlebrook upgrade of electrical systems, Frontier Hall resident room carpet and abatement, and roof replacement projects for Centennial and Comstock Halls.

RRC: Auxiliary Services

RRC Contact: Laurie Scheich

Project Manager: Multiple

UNIVERSITY OF MINNESOTA

Project Description Report

3368 R&R - Dining Services

Vice President: University Services

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$865

Description: Funding authorized in this request will be used for facility and infrastructure improvements, and repair and replacement projects in food venues on the Twin Cities campus.

RRC: Auxiliary Services

RRC Contact: Laurie Scheich

Project Manager: Multiple

3369 R&R - Parking Infrastructure

Vice President: University Services

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$5,249

Description: Funding authorized in this request will be used for parking facility and infrastructure improvements and repair and replacement projects on the Twin Cities campus, including improvements to surface parking, structured parking, emergency generators, and elevators.

RRC: Auxiliary Services

RRC Contact: Laurie Scheich

Project Manager: Multiple

3370 R&R - Transportation Infrastructure

Vice President: University Services

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$6,743

Description: Funding authorized in this request will be used for transportation infrastructure improvements and repair and replacement projects on the Twin Cities campus, including improvements to streets, sidewalks, bridges, building linkages, and safety systems. A notable investment includes the Church Street North of Washington project, Plaza sidewalk projects and Scott Hall loading dock driveway, parking and sidewalks.

RRC: Auxiliary Services

RRC Contact: Laurie Scheich

Project Manager: Multiple

UNIVERSITY OF MINNESOTA

Project Description Report

3372 R&R - Student Life

Vice President: Duluth Campus

Campus: Duluth

Facility: Duluth

Total Cost: \$3,000

Description: Funding authorized in this request will be used for facility and infrastructure improvements and repair and replacement projects in the residence halls, apartments, and other student service facilities on the Duluth campus

RRC: Duluth Campus

RRC Contact: Lendley Black

Project Manager: John Rashid

3373 R&R - Facilities Management

Vice President: Duluth Campus

Campus: Duluth

Facility: Duluth

Total Cost: \$4,078

Description: Funding authorized in this request will be used for facility and infrastructure improvements and repair and replacement projects on the Duluth campus.

RRC: Duluth Campus

RRC Contact: Lendley Black

Project Manager: John Rashid

3374 Student Center Remodel

Vice President: Morris Campus

Campus: Morris

Facility: Edson Auditorium

Total Cost: \$975

Description: This project will renovate the space and update and refresh the auditorium seating, sound booth, and stage, enhance the facilities aesthetics and create a more notable entrance and welcoming lobby for users who see Edson as hidden within the surrounding Student Center.

RRC: Morris Campus

RRC Contact: Michelle Behr

Project Manager: Bryan Hermann

UNIVERSITY OF MINNESOTA

Project Description Report

3375 3rd and 4th Fl Renovations

Vice President: Academic Affairs

Campus: Twin Cities

Facility: Biological Sciences Center

Total Cost: \$8,400

Description: This project will renovate approximately 14,000 sf on the 3rd and 4th floors of the Biological Sciences Center to support the academic mission of the University and the student experience on the Twin Cities campus. New, open-plan research labs and offices will be created in existing, underutilized space to support up to four research teams. Outdated research labs on the third floor will be renovated to provide new active learning laboratories. Noncompliant building code, life safety, environmental, and accessibility conditions will be addressed where they affect the work area.

RRC: College of Biological Sciences

RRC Contact: Valerie Forbes

Project Manager: Nancy Rudstrom

3378 R&R - Athletics

Vice President: Intercollegiate Athletics

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$2,216

Description: Funding authorized in this request will be used for facility and infrastructure improvements, and repair and replacement projects in athletics venues on the Twin Cities campus including LED sports lighting for 5 facilities and contribution to Soccer and Golf Team Area

RRC: Intercollegiate Athletics

RRC Contact: Scott Ellison

Project Manager: Multiple

3380 R&R - Twin Cities

Vice President: University Services

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$18,452

Description: Funding authorized in this request will be used for facility and infrastructure improvements, and repair and replacement projects on the Twin Cities campus.

RRC: Facilities Management

RRC Contact: Bill Paulus

Project Manager: Multiple

UNIVERSITY OF MINNESOTA

Project Description Report

3381 R&R - Utility Infrastructure

Vice President: University Services

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$18,604

Description: Funding authorized in this request will be used for utility infrastructure improvements, and repair and replacement projects on the Twin Cities campus.

RRC: Facilities Management

RRC Contact: Bill Paulus

Project Manager: Multiple

3382 R&R - Energy Conservation

Vice President: University Services

Campus: Twin Cities

Facility: TC Campus

Total Cost: \$3,900

Description: Funding authorized in this request will be used on the Twin Cities campus to enhance the energy efficiency of the buildings and infrastructure on the Twin Cities campus. Facilities Management maintains a revolving internal loan (debt) fund with the Budget Office to fund and repay conservation projects.

RRC: Facilities Management

RRC Contact: Bill Paulus

Project Manager: Multiple

3383 Public Safety Facility

Vice President: University Services

Campus: Twin Cities

Facility: Transportation Safety Bldg

Total Cost: \$10,650

Description: This project will provide the University of Minnesota Police Department (UMPD) with an updated facility to improve operational efficiency within and across departments by co-locating UMPD, Public Safety Emergency Command Center (PSECC), and Security Monitor Program (SMP). The project will locate UMPD and Security functions in the heart of campus, taking advantage of proximity to the Washington Avenue ramp for secured parking of patrol vehicles, other transport needs. The project includes relocation of Center for Transportation Studies (CTS) from the 2nd floor of the Transportation and Safety Building and other necessary program relocation expenses.

RRC: Public Safety

RRC Contact: Mike Berthelsen

Project Manager: Michael Kisch

UNIVERSITY OF MINNESOTA

Project Description Report

3384 R&R - UMC Campus

Vice President: Crookston Campus

Campus: Crookston

Facility: Crookston

Total Cost: \$510

Description: Funding authorized in this request will be used for facility and infrastructure improvements and repair and replacement projects in the residence halls, apartments, and other student service facilities on the Crookston campus

RRC: Crookston Campus

RRC Contact: Barbara Keinath

Project Manager: Dave Danforth

3385 R&R - UMM Campus

Vice President: Morris Campus

Campus: Morris

Facility: Morris

Total Cost: \$485

Description: Funding authorized in this request will be used for facility and infrastructure improvements and repair and replacement projects in the residence halls, apartments, and other student service facilities on the Morris campus

RRC: Morris Campus

RRC Contact: Michelle Behr

Project Manager: Bryan Hermann

3386 R&R - CBS Research & Outreach Ctrs.

Vice President: Academic Affairs

Campus: Twin Cities

Facility: ROC's

Total Cost: \$149

Description: Funding authorized in this request will be used for facility and infrastructure improvements and repair and replacement projects in the CBS Research & Outreach Centers

RRC: College of Biological Sciences

RRC Contact: Christina Kramer

Project Manager: Multiple

UNIVERSITY OF MINNESOTA

Project Description Report

3387 R&R - CFANS Research & Outreach Ctrs.

Vice President: Academic Affairs

Campus: Twin Cities

Facility: ROC's

Total Cost: \$485

Description: Funding authorized in this request will be used for facility and infrastructure improvements and repair and replacement projects in the CFANS Research & Outreach Centers

RRC: College of Food, Agriculture and Natural Sciences

RRC Contact: Ben Fink

Project Manager: Multiple

3388 Center for Collaborative Research

Vice President: Crookston Campus

Campus: Crookston

Facility: Sahlstrom Hall

Total Cost: \$515

Description: This project will convert approx. 1,000 sf of unused space in the Sahlstrom Center into a Center for Collaborative Research. UMC-CCR will be a self-contained flexible research facility where analytical chemistry, microbiology, and molecular/cellular biology work can be carried out from start to finish.

RRC: Crookston Campus

RRC Contact: Barbara Keinath

Project Manager: Paul Oelze

FY2018 ANNUAL CAPITAL BUDGET

University of Minnesota

Annual Capital Budget Definitions by Funding Source

Local Funds

These funds have been allocated to or generated by campus-level, collegiate-level or departmental-level units. These funds include state appropriations, tuition, internal sales, external sales and other unrestricted funds.

Grants / Gifts

Grant and gift funds are provided to the University to support specific construction projects.

Institutional Funds

This category of resources represents a broad array of funds from within the University including but not limited to central budget allocations for specific projects and purposes.

State Debt

These funds are provided from State sold bond proceeds for use on legislatively authorized projects.

U of M Debt

These funds come from both the sale of bonds issued by the University as well as commercial paper and internal loans. The source of the debt service payment varies by project.

UNIVERSITY OF MINNESOTA

Annual Capital Improvement Budget

Project Funding Report

UNIVERSITY OF MINNESOTA

Funding Report

Academic Affairs

File	Facility	Project Title	Total	Local Funds	Grants / Gifts	Institutional Funds	State Debt	University Debt	Comments
<i>AHC Shared Units</i>									
3342	New Facility	Health Sciences Education Center	\$100,000	\$0	\$0	\$0	\$66,667	\$33,333	FY17 State Request
3361	PWB	Institute for Health Informatics Remodel	\$2,381	\$2,381	\$0	\$0	\$0	\$0	
3359	CMRR	MDT Research Suite Remodel	\$847	\$847	\$0	\$0	\$0	\$0	
<i>Classroom Management</i>									
3349	Mondale Hall	Classrooms Phase 3	\$885	\$0	\$0	\$885	\$0	\$0	
<i>College of Biological Sciences</i>									
3386	ROC's	R&R - CBS Research & Outreach Ctrs.	\$149	\$113	\$0	\$36	\$0	\$0	
3343	Plant Growth Facility	Plant Growth Research Facility	\$6,600	\$0	\$0	\$0	\$4,400	\$2,200	FY17 State Request
3375	Biological Sciences Center	3rd and 4th Fl Renovations	\$8,400	\$2,900	\$0	\$0	\$0	\$5,500	
<i>College of Food, Ag, and Natural Resources</i>									
3387	ROC's	R&R - CFANS Research & Outreach Ctrs.	\$485	\$262	\$0	\$223	\$0	\$0	
<i>College of Science & Engineering</i>									
3356	Shepherd Labs	History of Science & Tech Relocation	\$798	\$798	\$0	\$0	\$0	\$0	
<i>Student Affairs, Vice Provost</i>									
3352	TC Campus	Softball Field Artificial Turf	\$700	\$700	\$0	\$0	\$0	\$0	
3350	Multiple	R&R - Student Affairs	\$3,190	\$3,190	\$0	\$0	\$0	\$0	
			\$124,435	\$11,191	\$0	\$1,144	\$71,067	\$41,033	

UNIVERSITY OF MINNESOTA

Funding Report

Intercollegiate Athletics

File	Facility	Project Title	Total	Local Funds	Grants / Gifts	Institutional Funds	State Debt	University Debt	Comments
<i>Intercollegiate Athletics</i>									
3378	TC Campus	R&R - Athletics	\$2,216	\$2,216	\$0	\$0	\$0	\$0	
3366	Mariucci Arena	Weight Room Remodel	\$2,335	\$708	\$515	\$0	\$0	\$1,112	
			\$4,551	\$2,924	\$515	\$0	\$0	\$1,112	

UNIVERSITY OF MINNESOTA

Funding Report

Crookston Campus

File	Facility	Project Title	Total	Local Funds	Grants / Gifts	Institutional Funds	State Debt	University Debt	Comments
<i>UM Crookston</i>									
3384	Crookston	R&R - UMC Campus	\$510	\$310	\$0	\$200	\$0	\$0	
3388	Sahlstrom Hall	Center for Collaborative Research	\$515	\$515	\$0	\$0	\$0	\$0	
			\$1,025	\$825	\$0	\$200	\$0	\$0	

UNIVERSITY OF MINNESOTA

Funding Report

Duluth Campus

File	Facility	Project Title	Total	Local Funds	Grants / Gifts	Institutional Funds	State Debt	University Debt	Comments
<i>UM Duluth</i>									
3373	Duluth	R&R - Facilities Management	\$4,078	\$3,200	\$0	\$878	\$0	\$0	
3341	New Facility	Chemistry and Adv. Materials Science	\$42,401	\$0	\$0	\$0	\$28,267	\$14,134	FY17 State Request
3372	Duluth	R&R - Student Life	\$3,000	\$3,000	\$0	\$0	\$0	\$0	
			\$49,479	\$6,200	\$0	\$878	\$28,267	\$14,134	

UNIVERSITY OF MINNESOTA

Funding Report

Morris Campus

File	Facility	Project Title	Total	Local Funds	Grants / Gifts	Institutional Funds	State Debt	University Debt	Comments
<i>UM Morris</i>									
3374	Edson Auditorium	Student Center Remodel	\$975	\$50	\$0	\$0	\$0	\$925	
3385	Morris	R&R - UMM Campus	\$485	\$188	\$0	\$297	\$0	\$0	
			\$1,460	\$238	\$0	\$297	\$0	\$925	

UNIVERSITY OF MINNESOTA

Funding Report

University Services

File	Facility	Project Title	Total	Local Funds	Grants / Gifts	Institutional Funds	State Debt	University Debt	Comments
<i>Facilities Management</i>									
3340	Systemwide	HEAPR	\$20,600	\$0	\$0	\$0	\$20,600	\$0	FY17 State Request
3380	TC Campus	R&R - Twin Cities	\$18,452	\$9,086	\$0	\$9,366	\$0	\$0	
3381	TC Campus	R&R - Utility Infrastructure	\$18,604	\$16,743	\$0	\$0	\$0	\$1,861	
3382	TC Campus	R&R - Energy Conservation	\$3,900	\$1,900	\$0	\$0	\$0	\$2,000	
<i>Housing & Residential Life</i>									
3367	TC Campus	R&R - Housing & Residential Life	\$9,507	\$9,507	\$0	\$0	\$0	\$0	
<i>Parking & Transportation Services</i>									
3369	TC Campus	R&R - Parking Infrastructure	\$5,249	\$5,249	\$0	\$0	\$0	\$0	
3370	TC Campus	R&R - Transportation Infrastructure	\$6,743	\$6,743	\$0	\$0	\$0	\$0	
<i>Public Safety</i>									
3383	Transportation Safety Bldg	Public Safety Facility	\$10,650	\$10,650	\$0	\$0	\$0	\$0	
<i>University Dining Services</i>									
3368	TC Campus	R&R - Dining Services	\$865	\$865	\$0	\$0	\$0	\$0	
			\$94,570	\$60,743	\$0	\$9,366	\$20,600	\$3,861	

UNIVERSITY OF MINNESOTA

Funding Report

Report Summary

Total	Local Funds	Grants / Gifts	Institutional Funds	State Debt	University Debt
\$275,520	\$82,121	\$515	\$11,885	\$119,934	\$61,065



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO

The FY 2018 Capital Improvement Budget

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 2018 Capital Improvement Budget and reaffirms its prior year capital expenditure authorizations.

FY2018 Annual Capital Improvement Budget

Board of Regents
June 9, 2017



UNIVERSITY OF MINNESOTA

Driven to DiscoverSM



Annual Capital Improvement Budget

- Year 1 of the Six-Year Capital Plan
- Includes individual projects over \$500,000
- Projects need to have a completed predesign
- Projects must be fully funded
- Approved projects move into design and/or construction





FY2018 Capital Budget: \$275.5 million

(dollars in millions)

Category	State Financed	U of MN Financed	Total Cost
State Capital Request: HEAPR	\$20.6	\$0.0	\$20.6
State Capital Request: Projects	\$99.3	\$49.7	\$149.0
University Funded Projects	\$0.0	\$105.9	\$105.9
Total FY2018 Capital Improvement Budget	\$119.9	\$155.6	\$275.5

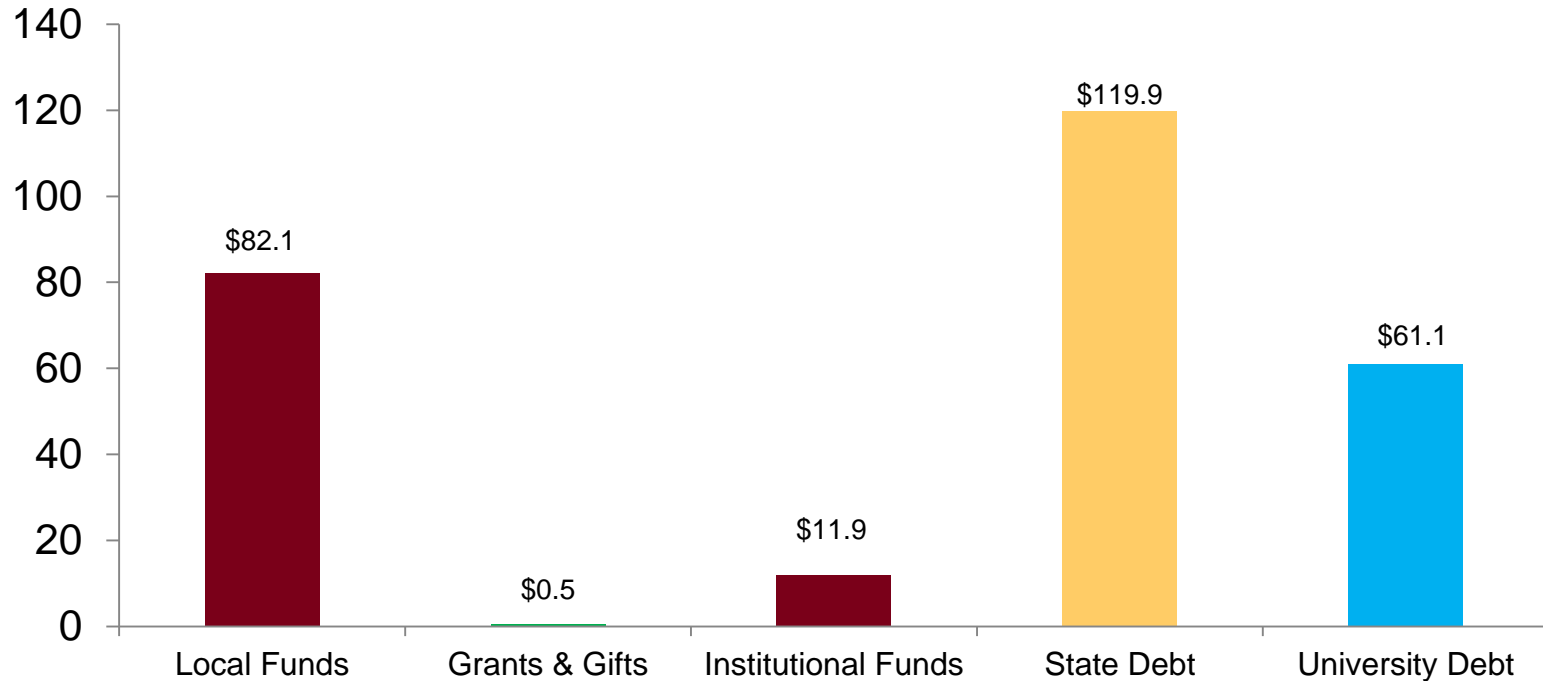


Changes Since May

May Capital Budget Total		\$391,906,000
Moved from Projects Under Consideration	Public Safety Facility	10,650,000
	Non-Recurring R&R from FY2018 Operating Budget	10,000,000
	Biological Sciences Center 3rd/4th Floor Renovation	8,400,000
	Systemwide R&R Adjustments	1,973,000
	Sahlstrom Center	515,000
	Edson Auditorium (adjustment)	75,000
	HEAPR (adjustment)	(79,400,000)
Reflects outcome of legislative session and modified funding sources	Pillsbury Hall Rehabilitation	(34,320,000)
	Academic and Student Experience	(24,000,000)
	Collections and Contemporary Learning Design	(6,000,000)
	Health Sciences Education Center (adjustment)	(4,000,000)
	Plant Growth Research Facility (adjustment)	(300,000)
	Chemistry and Advanced Materials Sciences (adjustment)	21,000
June Capital Budget Total		\$275,520,000

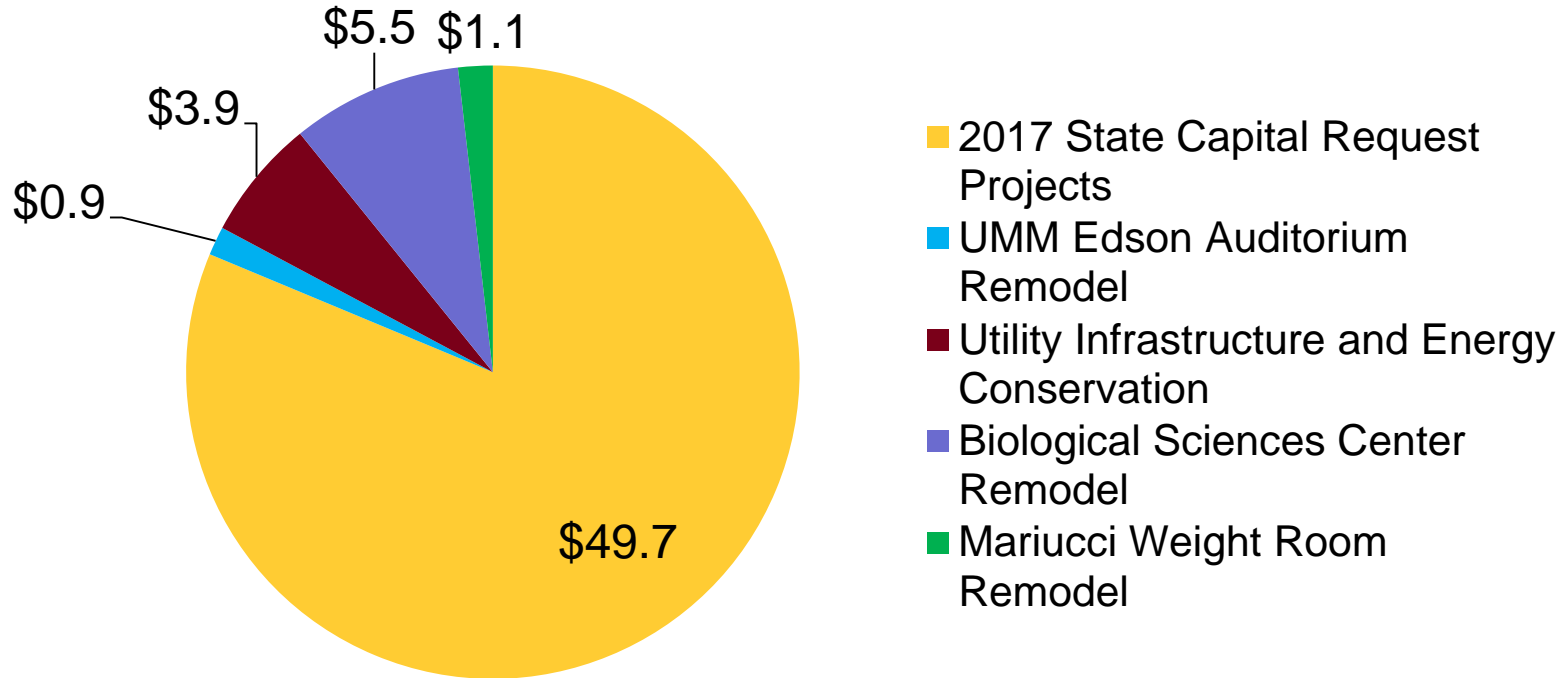


FY2018 Capital Budget: \$275.5 million





University Debt Component: \$61.1 million





2018 Capital Budget Resolution

- WHEREAS, the Board of Regents directed the administration to annually submit a capital improvement budget and a six-year capital plan; and
- WHEREAS, the Board has adopted principles to guide the formulation of the capital improvement budget and six-year capital 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 of Regents approves the FY2018 Capital Improvement Budget and reaffirms its prior year capital expenditure authorizations.



UNIVERSITY OF MINNESOTA

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BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

AGENDA ITEM: Board of Regents Policy: *Sexual Misconduct*

Review

 Review + Action

 Action

 Discussion

This is a report required by Board policy.

PRESENTERS: Tina Marisam, EOAA Director and Title IX Coordinator
 Brian Slovut, Deputy General Counsel

PURPOSE & KEY POINTS

The purpose of this item is to discuss and review Board of Regents Policy: *Sexual Misconduct*, which will replace Board of Regents Policy: *Sexual Harassment*. The purpose of the new Board policy is to define terms related to sexual misconduct that are used in the *Student Conduct Code* and the Administrative Policy: *Sexual Misconduct*.

The administrative policy was developed following a resolution agreement with the U.S. Department of Education Office for Civil Rights. The University agreed to develop a single policy to address sexual misconduct and to provide information about the resources and processes related to that policy.

Board and administrative policies are intended to advance the University’s sexual misconduct prevention and response efforts by providing comprehensive information about prohibited conduct, adjudicative procedures, and resources in system-wide policy documents that apply to all University members.

BACKGROUND INFORMATION

The following University stakeholders have been consulted in the development of these policies:

President’s Cabinet	University Senate	Clery Coordinator
Senate Consultative Committee	University Police Department	The Aurora Center
P&A Consultative Committee	Office of the General Counsel	Housing and Residential Life
Equity, Access and Diversity Committee	System Title IX & Human Resources staff	Student Conduct and Academic Integrity
Office of Fraternity and Sorority Life	Student Conflict Resolution Center	Office for Student Affairs
Minnesota Student Association	EOAA Liaisons	Department of Athletics
President’s Senior Leaders Group	Council of Graduate Students	Global Programs and Strategy



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 1 of 3

Human Resources

SEXUAL MISCONDUCT

Adopted: TBD

Supersedes: (see end of policy)

Draft for Review

SEXUAL MISCONDUCT

SECTION I. SCOPE.

This policy governs the University of Minnesota's (University) commitment to preventing and addressing sexual misconduct.

SECTION II. DEFINITIONS.

Subd. 1. Sexual Misconduct. *Sexual misconduct* shall mean sexual assault, relationship violence, stalking, sexual harassment and related retaliation.

Subd. 2. Sexual Harassment. *Sexual harassment* shall mean unwelcome conduct of a sexual nature under either of the following conditions:

- (a) When submission to such conduct is implicitly or explicitly: (1) made a condition of an individual's employment or academic standing or advancement; or (2) used as the basis of an employment or academic decision affecting that individual (*quid pro quo* sexual harassment).
- (b) When the conduct is: (1) severe, persistent or pervasive; and (2) unreasonably interferes with an individual's employment or academic performance or creates a work or academic environment that a reasonable person would find to be intimidating or hostile (*hostile environment sexual harassment*).

Subd. 3. Sexual Assault. *Sexual assault* shall mean actual, attempted or threatened sexual contact without affirmative consent.

- (a) *Sexual contact* is intentional sexual touching with an object or body part that, depending on the context, may include, but is not limited to: (1) intentionally touching the breasts, buttocks, groin or genitals of another individual; (2) intentionally touching another individual with any of these body parts; and (3) making an individual touch another individual or themselves with, or on, any of these body parts. Sexual contact can occur whether or not an individual's body parts are covered by clothing.
- (b) *Affirmative consent* is an informed, freely and affirmatively communicated willingness to participate in sexual contact that is expressed by clear and unambiguous words or actions. Clear and unambiguous words and actions are those that are freely and actively given by informed individuals that a reasonable person would believe communicate a willingness to participate in mutually agreed upon sexual contact.

Subd. 4. Relationship Violence. *Relationship violence* shall mean actual, attempted or threatened physical harm by an individual who is, or has been, in a sexual, dating, spousal, or other romantic relationship with the individual receiving the actual, attempted or threatened harm.

Subd. 5. Stalking. *Stalking* shall mean a course of conduct directed at a specific individual that is unwanted, unwelcome, or unreciprocated and that would cause a reasonable person to feel fear for



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 2 of 3

Human Resources

SEXUAL MISCONDUCT

Adopted: TBD

Supersedes: (see end of policy)

Draft for Review

their safety or suffer substantial emotional distress. A course of conduct is two or more acts including, but not limited to, acts in which an individual directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about another individual, or interferes with another individual's property.

Subd. 6. Retaliation. *Retaliation* shall mean taking an adverse action against an individual because of the individual's good faith participation in reporting sexual misconduct, expressing opposition to sexual misconduct to at least one other person, participating in an investigation related to a sexual misconduct allegation, or accessing Conflict Resolution Services to resolve a conflict related to sexual misconduct.

- (a) *Adverse actions* may include, but are not limited to: impeding the individual's academic advancement; departing from any customary academic or employment practice regarding the individual; firing, refusing to hire, or refusing to promote the individual; transferring or assigning the individual to a lesser position in terms of wages, hours, job classification, job security, employment or academic status; threatening or marginalizing an individual and taking any other action that might deter a reasonable person from engaging in an activity protected by this policy. In some situations, an adverse action may also include informing people who do not have a need to know that an individual has engaged in activity protected by this policy.

Subd. 7. Member of the University Community. *Member of the University community* shall mean any:

- (a) University student;
- (b) University employee; or
- (c) third party who is engaged in any University activity or program, or who is otherwise interacting with the University, including, but not limited to, volunteers, contractors, vendors, visitors and guests.

SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the University's commitment to preventing and addressing sexual misconduct:

- (a) Consistent with its academic mission and standards, the University is committed to achieving excellence by working to create an educational, employment and residential living environment that is free from sexual misconduct.
- (b) The University is committed to preventing and addressing sexual misconduct through education and prompt, thorough and procedurally fair investigative procedures.
- (c) As a community of faculty, staff and students engaged in research, scholarship, artistic activity, teaching and learning, and activities that support them, the University seeks to foster an environment that is equitable, humane and responsible and where all are treated with dignity and respect.



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY**

Page 3 of 3

Human Resources

SEXUAL MISCONDUCT

Adopted: TBD

Supersedes: (see end of policy)

Draft for Review

SECTION IV. IMPLEMENTATION.

The University shall:

- (a) prohibit members of the University community from engaging in, or assisting or abetting another's engagement in, sexual misconduct;
- (b) require employees to take timely and appropriate action when they know or should know that sexual misconduct is occurring or has occurred;
- (c) adopt procedures on each campus for investigating and resolving complaints of sexual misconduct in coordination with the director of the Office of Equal Opportunity and Affirmative Action; and
- (d) address violations of this policy through disciplinary or other responsive action up to and including termination of employment or academic dismissal.

SECTION V. MONITORING.

The president or delegate shall address complaints of sexual misconduct consistent with this policy and law and remedy any practice that deviates from this policy.

Supersedes: Sexual Harassment dated May 11, 2012.



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 1 of 2

Human Resources

SEXUAL HARASSMENT

Adopted: May 11, 2012

Supersedes: (see end of policy)

SEXUAL HARASSMENT

SECTION I. SCOPE.

This policy governs the commitment to the prevention and awareness of and response to sexual harassment at the University of Minnesota (University).

SECTION II. DEFINITIONS.

(a) **Sexual Harassment.** *Sexual harassment* shall mean unwelcome sexual advances, requests for sexual favors, and/or other verbal or physical conduct of a sexual nature when:

(1) Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic advancement in any University activity or program;

(2) Submission to or rejection of such conduct by an individual is used as the basis of employment or academic decisions affecting this individual in any University activity or program: or

(3) Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive work or academic environment in any University activity or program.

(b) **Retaliation.** *Retaliation* shall mean any form of intimidation, reprisal or harassment against an individual because the individual has made a report of sexual harassment or has participated in an investigation of sexual harassment by or of a University community member including:

(1) firing, refusing to hire, or refusing to promote the individual;

(2) departing from any customary employment or academic practice regarding the individual;

(3) transferring or assigning the individual to a lesser position in terms of wages, hours, job classification, job security, employment or academic status;

(4) informing another student, staff or faculty member who does not have a need to know that the individual has made a complaint or participated in an investigation of a complaint of sexual harassment;

(5) impeding the individual's academic advancement in any University activity or program.

(c) **Member of the University Community.** *Member of the University community* shall mean any University faculty member, student, staff member, visitor or other individual engaged in any University activity or program.



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 2 of 2

Human Resources

SEXUAL HARASSMENT

Adopted: May 11, 2012

Supersedes: (see end of policy)

SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the commitment of the University for the prevention and awareness of and response to sexual harassment:

- (a) Consistent with its academic mission and standards, the University is committed to achieving excellence by working to create an educational, employment and residential living environment that are free from sexual harassment.
- (b) The University is committed to preventing and eliminating sexual harassment of faculty, staff and students through education and by encouraging all members of the University community to report any concerns or complaints about sexual harassment.
- (c) As a community of faculty, staff and students engaged in research, scholarship, artistic activity, teaching and learning or activities that support them the University seeks to foster an environment that is equitable, humane and responsible and where all members are treated with dignity and respect.

SECTION IV. IMPLEMENTATION.

The University shall:

- (a) prohibit sexual harassment or retaliation.
- (b) ensure that department heads, deans, provosts, chancellors, vice presidents, and other supervisors and managers take timely and appropriate action when they know or should know of the existence of sexual harassment. Other persons who suspect sexual harassment should report it to an appropriate person in their unit or to the University equal opportunity officer.
- (c) adopt procedures on each campus for investigating and resolving complaints of sexual harassment in coordination with the director of equal opportunity and affirmative action.
- (d) address violations of this policy through disciplinary or other corrective action up to and including termination of employment or academic dismissal.

SECTION V. MONITORING.

The president or delegate shall address complaints of sexual harassment consistent with this policy and law and remedy any discriminatory or harassing practice that deviate from this policy.

Supersedes: Sexual Harassment dated September 11, 1998



ADMINISTRATIVE POLICY

Sexual Misconduct

Senior Leader: VP and Vice Provost for Equity and Diversity

Responsible University Officer: VP for Equity and Diversity

Policy Owner: Director of Equal Opportunity Affirmative Action

Policy Contact: Tina Marisam

POLICY STATEMENT

The University of Minnesota (the “University”) is committed to taking prompt and effective steps reasonably calculated to end sexual misconduct, prevent its recurrence and, as appropriate, remedy its effects. This policy outlines the University’s definitions and policies related to sexual misconduct. This policy applies to University members, who include:

- University students, whether enrolled full time or part time, for credit or non-credit courses;
- University employees as defined in this policy; and
- third parties who are engaged in any University activity or program, or who are otherwise interacting with the University, including, but not limited to, volunteers, contractors, vendors, visitors and guests.

This policy applies to acts of sexual misconduct committed by or against students, employees, and third parties when:

- the conduct occurs on University property;
- the conduct occurs in the context of a University employment or education program or activity, including, but not limited to, University-sponsored academic, athletic, extracurricular, study abroad, research, on-line or internship programs or activities;
- the conduct occurs off University property and outside the context of a University employment or education program or activity, but has a continuing adverse effect on or creates a hostile environment for students, employees, or third parties while on University property or in any University employment or education program or activity; or
- the conduct indicates that the respondent may present a danger or threat to the health or safety of University members.

To the extent any provision of this policy conflicts with the Board of Regents Policy: [Sexual Misconduct](#), the Board policy controls. To the extent any provision of this policy conflicts with any other University policy, this policy controls. Nothing in this policy should be interpreted to abridge academic freedom or principles of free speech.

I. PROHIBITION

All University members are prohibited from engaging in, or assisting or abetting another’s engagement in, sexual assault, sexual harassment, relationship violence, stalking and related retaliation (collectively “sexual misconduct”).

II. REPORTING AND OTHER OBLIGATIONS RELATED TO SEXUAL MISCONDUCT

In order to foster an environment free of sexual misconduct, all University members are encouraged to take reasonable and prudent actions to prevent, stop and report all acts of sexual misconduct. In addition, University members have the following reporting and other obligations related to sexual misconduct. For additional information about University employees' obligation to report sexual misconduct, please see Appendix A.

A. REPORTING OF SEXUAL MISCONDUCT DIRECTED AT STUDENTS

University employees must promptly contact the campus Title IX office when they learn, in the course of performing their employment duties, about any form of sexual misconduct directed at students that may have:

- occurred on University property;
- occurred during a University employment or education program or activity;
- been directed at a current student while they were affiliated with the University; or
- been committed by a current University member while they were affiliated with the University.

B. REPORTING OF SEXUAL MISCONDUCT DIRECTED AT EMPLOYEES OR THIRD PARTIES

University employees must promptly contact the campus Title IX office when they learn, in the course of performing their employment duties, about sexual assault, stalking or relationship violence directed at University employees or third parties that may have:

- occurred on University property;
- occurred during a University employment or education program or activity;
- been directed at a current University employee or third party while they were affiliated with the University; or
- been committed by a current University member while they were affiliated with the University.

C. INFORMATION THAT MUST BE REPORTED TO THE CAMPUS TITLE IX OFFICE

University employees who learn about sexual misconduct are not required to solicit additional information about the sexual misconduct or the individuals involved. However, if known to them, University employees who learn about sexual misconduct as set forth in A and B above must share the following information with the campus Title IX office:

- the names of the complainant(s), respondent(s) and possible witnesses;
- the date, time and location of the alleged sexual misconduct; and
- all other relevant details about the alleged sexual misconduct that the University would need to determine what occurred and address the situation.

D. WHAT DOES THE CAMPUS TITLE IX OFFICE DO AFTER RECEIVING A REPORT?

After receiving a report of sexual misconduct, the campus Title IX office or its designee will contact the complainant to provide resources for personal support and information about the investigation process. In cases involving a student respondent, the Title IX office or its designee

will only begin investigating the report after receiving verbal or written confirmation that the complainant wishes to initiate an investigation, except in limited cases where campus safety is threatened as discussed further in Section IV.E.

In cases of alleged sexual misconduct involving an employee respondent, the Title IX office will consult with the respondent's supervisor and Human Resources to decide how best to respond to the report. In some cases, the supervisor or Human Resources will ultimately address the report.

E. EMPLOYEES WHO ARE EXEMPT FROM THESE REPORTING REQUIREMENTS

The following University employees are exempt from the requirement to report sexual misconduct to the campus Title IX office:

- health center employees when they learn about sexual misconduct in the course of treating patients or facilitating the provision of medical services;
- counselors, psychologists and others with a professional license requiring confidentiality, and their supervisees, when they learn about sexual misconduct in the course of treating patients or facilitating the provision of medical services;
- members of the University of Minnesota Police Department when they are restricted by law from disclosing this information; and
- sexual misconduct advocacy office employees and volunteers when they learn about sexual misconduct in the course of their advocacy office work.

F. SUPERVISOR OBLIGATIONS

In addition to the above-described reporting obligations, supervisors must take prompt and appropriate action to address any concerns of sexual misconduct about which they know or reasonably should know. For additional information about supervisors' obligations to address sexual misconduct, please see Appendix B.

III. ACCOMMODATIONS AND PROTECTIVE MEASURES

The University will provide complainants with accommodations designed to promote their safety, wellbeing and continued access to employment and educational programs and activities to the extent these accommodations are reasonably available and requested by the complainant. These accommodations for complainants may be temporary or permanent. They are available regardless of whether a complainant makes a sexual misconduct report to the campus Title IX office or pursues an investigation under this policy. Possible accommodations for complainants include:

- residence modifications;
- academic modifications;
- support and counseling;
- work schedule modifications;
- assistance in making a report to law enforcement or obtaining a protective order; and
- transportation modifications.

As appropriate, the University will take protective measures pending the final outcome of a sexual misconduct investigation that are designed to protect the complainant and other University members from future harm, including:

- no-contact directives that prohibit complainants and respondents from contacting one another;

- increased monitoring or supervision at locations or activities where the sexual misconduct occurred;
- interim disciplinary suspension of a respondent student;
- suspension of a respondent employee from employment; and
- pre-disciplinary leave for a respondent employee (with or without pay).

Complainants can access these accommodations and protective measures by contacting the campus Title IX office or by contacting the departments or individuals with the ability to provide the requested accommodations, such as the campus housing and residential life office or the appropriate faculty member. The Title IX Coordinator is also available to meet with a complainant or respondent to address any concerns about the provision of accommodations or protective measures.

The University will determine which accommodations and protective measures to take depending on the facts of each case. For example, the University will consider the specific need expressed by the complainant, the severity or pervasiveness of the allegations, any continuing impact on the complainant and whether the complainant and the respondent share the same residence hall, classes, transportation or job location. The University will maintain the confidentiality of any accommodations or protective measures to the extent possible. For more information about accommodations, see Appendix C.

The University also provides counseling services for respondents. Respondents may contact the campus Title IX office for referrals to campus-specific counseling resources.

IV. INVESTIGATIONS

Campus Title IX office staff members or other appropriate and qualified University officials will promptly investigate or otherwise appropriately address all sexual misconduct reports. These officials may incorporate investigations of related policy violations into their sexual misconduct investigations. For example, in addition to investigating whether a respondent violated this policy, these officials may also investigate whether a witness or party has engaged in falsification during an investigative interview or whether the alleged sexual misconduct violates other University policies.

The University's procedures for investigating and resolving incidents of sexual misconduct are based upon principles of fairness and respect for complainants and respondents. For more information about investigations, see Appendix C.

A. STANDARD OF PROOF

The University applies the preponderance of the evidence standard when determining whether this policy has been violated. "Preponderance of the evidence" means that it is more likely than not that a policy violation has occurred.

B. EXPECTATIONS OF AND FOR COMPLAINANTS AND RESPONDENTS

Complainants and respondents can expect the following in connection with reports submitted under this policy:

1. Prompt and equitable resolution of sexual misconduct reports.
2. Privacy in accordance with this policy and the law.
3. Notice of applicable support and advocacy resources.
4. Freedom from retaliation as defined in this policy.
5. The responsibility not to retaliate against any person as defined in this policy.
6. The responsibility to provide truthful information in connection with any report, investigation, proceeding or resolution under this policy.
7. The opportunity to express concerns about the proceedings or processes under this policy.

8. Timely notice of any meeting or proceeding at which the person's presence is contemplated by this policy.
9. Notice of an investigation, including notice of potential policy violations and the nature of the alleged sexual misconduct.
10. The opportunity to offer information, submit evidence, and identify witnesses during an investigation.
11. Timely and equal access to information that will be used after the fact-finding investigation and during disciplinary meetings and hearings, where available.
12. Periodic updates on the status of the investigation and adjudication procedures.
13. An explanation if the timeline for completion of the investigation and adjudication procedures must be extended.
14. Proceedings that are conducted by officials who: (1) do not have a conflict of interest or bias for or against the complainant or respondent; and (2) receive annual training on sexual misconduct and procedures for investigating sexual misconduct complaints that protect the safety of complainants and promote accountability.
15. The University will not require a complainant to resolve sexual misconduct concerns directly with a respondent through mediation or other informal conflict resolution processes.

C. DUTY TO PARTICIPATE

Complainants are not required to participate in sexual misconduct investigations. However, the University may be limited in its ability to respond to a sexual misconduct report without the complainant's participation. When requested, respondents are required to meet with the campus Title IX office or its designee without undue delay to, at a minimum, hear the allegations asserted against them. Respondents are not required to respond to these allegations. However, where a complainant or respondent refuses to provide relevant information in an investigation, the campus Title IX office or its designee will make a finding based only on the information available.

All other University members (except the employees designated in section II.E) are required to participate in sexual misconduct investigations so that the most complete information is available for the University to determine if sexual misconduct occurred. However, the Title IX Coordinator or a designee may excuse University members from this requirement in certain circumstances, such as where the University member is unlikely to provide significant relevant information or where participation would be particularly burdensome for that University member. This duty to participate does not apply to participation in sexual misconduct hearings.

An individual who provides false or misleading information in bad faith in a sexual misconduct investigation or hearing may be subject to disciplinary sanctions. Disciplinary sanctions are not warranted where an individual makes a sexual misconduct report or provides information in a sexual misconduct investigation in good faith, even if the report or information is not later substantiated.

D. INITIAL ASSESSMENT

When a campus Title IX office receives a report of sexual misconduct, it will promptly work with other appropriate University offices as necessary to complete an initial assessment of the report and any immediate health or safety concerns raised by the report. Where possible, these offices aim to complete the following tasks within 5 business days of receiving a report:

1. Assess whether the report identifies conduct that, if it occurred as described, would violate this policy;
2. Assess the nature and circumstances of the report, including whether it provides the names or other information that personally identifies the complainant, the respondent or any other person with knowledge of the reported incident;
3. When applicable, inform the complainant of the right to seek medical treatment and provide the complainant with written notification about the importance of preserving evidence that

- may assist in proving that the alleged offense occurred or may be helpful in obtaining a protective order;
4. When applicable, provide written information to the complainant about the right to contact law enforcement, decline to contact law enforcement, be assisted by campus authorities in contacting law enforcement and how to seek a protective order;
 5. When applicable, refer the matter for review and recommendation by the University's Employee Threat Assessment Team (ETAT), the University's Behavioral Consultation Team (BCT) or other campus resource fulfilling this function;
 6. Provide written notification to the complainant about existing counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, student financial aid and other services available for complainants, both on and off campus.
 7. Provide written notification to the complainant about how to request accommodations or protective measures, such as changes to their academic, living, transportation and working situations.
 8. Inform the complainant about the University's prohibition against retaliation, and that the University will take prompt action in response to any act of retaliation; and
 9. When applicable, communicate with appropriate University officials to determine whether the report triggers Clery Act obligations, including entry of the report in the daily crime log or issuance of a timely warning.

The campus Title IX office will ensure that the complainant receives a written explanation of applicable resources, and is offered the opportunity to discuss those resources. If the University undertakes an investigation or any other action under this policy that impacts a respondent, the campus Title IX office will ensure that the respondent is notified, receives a written explanation of applicable resources, and is offered the opportunity to meet to discuss those resources.

E. ADVISOR PARTICIPATION

This section applies to the Twin Cities campus only. For the other system campuses' policies on the extent to which complainants and respondents can designate advisors to attend and participate in meetings and hearings in the investigation and adjudication process, please see the resources listed in Section G below or contact the campus Title IX office.

1. Cases involving student respondents

Complainants and respondents may be accompanied to meetings and hearings in the investigation and adjudication process by two advisors of their choice. An advisor may be an attorney, union representative, victim's support advocate, support person or other individual.

2. Cases involving employee or third party respondents

Complainants and respondents in sexual assault, stalking and relationship violence cases may be accompanied to meetings in the investigation and adjudication process by an advisor of their choice. An advisor may be an attorney, union representative, victim's support advocate, support person or other individual.

Complainants and respondents in sexual harassment and retaliation cases may be accompanied to meetings in the investigation and adjudication process by one of the following advisors: an attorney, victim's support advocate or union representative. In limited circumstances, other individuals may be permitted to attend these meetings for good reason, such as to accommodate a disability.

3. Additional information about advisor participation

To protect the integrity of the investigation and adjudication process, individuals who are witnesses with information about facts material to the underlying case may not serve as

advisors. For more information about the responsibilities of advisors who attend meetings and hearings as allowed by this policy, please see Appendix D.

F. INVESTIGATION PROCESS

Sexual misconduct investigations will be conducted by the campus Title IX office, or by another appropriate and qualified University designee. The nature and scope of an investigation will be determined based on the report and any additional information gathered during the investigation, and will typically include the following elements:

1. One or more interviews of the complainant, where the complainant will have the opportunity to describe the conduct giving rise to the report, provide evidence, and identify witnesses;
2. Notice to the respondent of the allegations made against the respondent;
3. One or more interviews of the respondent, where the respondent will have the opportunity to respond to the allegations, provide evidence, and identify witnesses;
4. Witness interviews and gathering of other evidence; and
5. Review and analysis of the evidence.

The University aims to complete sexual misconduct investigations within 60 days. However, depending on the complexity of the investigation, the number of witnesses, the availability of evidence and other factors, some investigations may take more than 60 days.

When a complainant requests that their identity be kept confidential or that the University refrain from conducting an investigation, the campus Title IX office or its designee will make an individualized determination of whether to conduct an investigation including consideration of the complainant's wishes, the University's responsibility for providing a safe and non-discriminatory campus environment and whether the University possesses other means to obtain relevant evidence.

In particular, the campus Title IX office will consider the following factors, among others, to determine whether an allegation indicates that the respondent may present a danger or threat: whether the respondent is alleged to have used a weapon while committing sexual misconduct; whether the respondent is alleged to have used force while committing sexual misconduct; and whether the respondent has been alleged to have committed sexual assault, relationship violence or stalking against multiple complainants.

G. POST-INVESTIGATORY PROCESSES

1. Cases where the respondent is a student

Upon completion of a sexual misconduct investigation, the campus Title IX office or its designee will prepare written findings that summarize the sexual misconduct report and the information gathered during the investigation. Either the campus Title IX office or its designee will make a written determination as to whether this policy was violated. The campus Title IX offices and their designees aim to complete these written findings within 15 days of the completion of the investigation.

The complainant and respondent (the parties) will receive a copy of the written findings and, when applicable, a proposed resolution to the sexual misconduct report. Both parties will also receive written information about how to request a hearing. If both parties agree to the written findings and proposed resolution, the University's process ends. A party who disagrees with the written findings or proposed resolution may request a hearing before a panel of University staff, faculty and/or students.

The University's hearing process is conducted in an impartial manner by impartial decision-makers. During the hearing process, complainants will not be required to appear in the same room with respondents. The parties will be given an equal opportunity to present evidence.

Both parties will receive written notice of the hearing panel's decision about whether this policy was violated and the sanctions that will be imposed, if any. Both parties will also receive written notice of their right to appeal the hearing panel's decision to an impartial decision-maker. In the case of an appeal, both parties are provided with the appellate officer's written decision.

Additional information about campus-specific hearing and appeals procedures is described here:

Crookston Campus – Hearings are held before members of the Student Conduct Committee in accordance with the [Campus Committee on Student Behavior Hearing Procedures](#). Appeals are adjudicated by the Vice Chancellor for Academic and Student Affairs.

Duluth Campus – Hearings are held before members of the Student Hearing Panel. Appeals are adjudicated by the UMD Student Appeals Panel. Hearings and appeals are conducted in accordance with the [Office of Student Conduct's written procedures](#).

Morris Campus – Hearings are held before members of the Student Behavior Committee. Appeals are heard by a panel of the Consultative Committee. Appeals are decided by the Chancellor or an appropriate designee. Hearings and appeals are conducted in accordance with the [Student Behavior Committee Hearing Procedures: Morris](#).

Twin Cities Campus – Hearings are held before members of the Student Sexual Misconduct Subcommittee (SSMS) in accordance with [SSMS Procedures](#). Appeals are adjudicated by the Executive Vice President for Academic Affairs and Provost or an appropriate designee in accordance with [Student Conduct Code Procedure: Twin Cities](#).

Rochester Campus – Hearings are held before members of the Committee on Student Conduct in accordance with the [Committee on Student Conduct Hearing Procedures](#). Appeals are heard by the Chancellor's Appeal Committee in accordance with the [Chancellor's Appeal Committee Procedures](#). Appeals are decided by the Chancellor.

2. Cases where the respondent is an employee or third party

Upon completion of a sexual misconduct investigation, the Title IX office (or its designee) will provide written findings to both parties. In most cases, the Title IX office will send written findings and recommendations for responsive action, if any, to the responsible University Authority. University Authority means:

- When the respondent is an employee, the respondent's supervisor, Human Resources and/or other appropriate University administrator;
- When the respondent is a third party, the University official responsible for retaining or overseeing the third party or other appropriate University administrator.

The University Authority will decide on the responsive actions, if any, to be implemented. The University Authority will notify the respondent of the responsive actions to be taken that directly impact the respondent, if any, and will document those actions in the respondent's University file. The University Authority will notify the Title IX office of any responsive actions taken or imposed. The Title IX office will follow up with the University Authority in a timely manner to document the responsive actions that have been taken. The University Authority will monitor compliance with any responsive actions, and address any compliance failures.

Either party may seek review of the Title IX office's written findings by providing concerns to that office. In addition, employees may consult with their campus Title IX office and other applicable policies or offices to determine whether other review or grievance procedures are available to them related to the Title IX office's written findings including, for example:

- Bargaining unit employees should contact their union representative and/or refer to the [applicable collective bargaining agreement](#).
- Faculty members should refer to Chapter 14 of Board of Regents Policy: [Faculty Tenure](#). Faculty members may contact the Office of the Provost for more information about processes under this policy:

Office of the Provost
234 Morrill Hall
100 Church Street SE
Minneapolis, MN 55455
provost@umn.edu
612-625-0051
<http://www.academic.umn.edu/provost/index.html>

- Faculty members who are not represented by a union should refer to the University's [conflict resolution process for employees](#). These faculty members may contact the Office for Conflict Resolution for more information:

Office for Conflict Resolution
662 Heller Hall (West Bank)
271 19th Avenue South
Minneapolis, MN 55455
612-624-1030
<http://ocr.umn.edu/>
ocr@umn.edu

- Civil Service and Professional and Administrative employees should refer to the University's [conflict resolution process for employees](#) and/or contact the Office for Conflict Resolution.

3. Cases where a respondent is alleged to have engaged in sexual misconduct in the course of performing duties as a student-employee

The University will follow the post-investigatory process that applies to student respondents as described above in IV.G.1, and the post-investigative process that applies to employee respondents as described above in IV.G.2. This may result in the respondent being disciplined as an employee by their employer and as a student as a result of the student conduct process.

V. SANCTIONS

Sanctions are actions reasonably calculated to eliminate sexual misconduct, prevent its recurrence, and promote accountability while supporting the University's educational mission and legal obligations. University sanctions may include educational, restorative, rehabilitative and disciplinary components.

University sanctions for students may include:

- an oral or written warning;
- informal and formal coaching;
- probation;

- required compliance with work assignments, community service assignments, participation in a restorative justice process or other discretionary assignments;
- restitution;
- restriction of privileges;
- University housing suspension or expulsion;
- suspension or expulsion from the University;
- withholding of a diploma or degree; and/or
- revocation of admission or a degree.

University sanctions for employees may include

- informal and formal coaching;
- probation;
- progressive disciplinary action;
- transfer of position;
- removal of administrative appointment;
- demotion;
- salary reduction; and
- termination of employment, consistent with the applicable University disciplinary policies and procedures.

In determining the appropriate sanctions, the University will be guided by a number of considerations, including, but not limited to:

- the severity, persistence, or pervasiveness of the sexual misconduct;
- the nature or violence (if applicable) of the sexual misconduct;
- prior misconduct by the respondent, including the respondent's relevant prior disciplinary history, at the University or elsewhere;
- an assessment of the respondent's potential for development, including whether the respondent has accepted responsibility for the sexual misconduct;
- the maintenance of a safe, nondiscriminatory, and respectful work and learning environment;
- recommendations from the investigator, the Title IX Coordinator, or other University administrators; and
- any other mitigating, aggravating, or compelling factors.

VI. AMNESTY

To facilitate reports and thorough investigations of sexual misconduct, individuals who report information about potential sexual misconduct violations to the University, and individuals who participate in an investigation under this policy, will not be disciplined by the University for violations of its drug and alcohol policies that occurred in connection with the reported sexual misconduct incident and came to light as a result of a sexual misconduct report or investigation. However, this amnesty provision does not apply to a person who has given another person alcohol or drugs without their knowledge and with the intent of causing them to become incapacitated.

Moreover, the University may offer leniency with respect to other violations that emerge as a result of a sexual misconduct report or investigation, depending on the circumstances involved

VII. PRIVACY AND CONFIDENTIALITY

The University is committed to protecting the privacy of all individuals involved in the investigation and resolution of a report under this policy to the greatest extent possible. The University will maintain the privacy of student records in accordance with applicable state and federal law, including the Family Educational Rights and Privacy Act (FERPA). The University will maintain the privacy of employee records in accordance with applicable state and federal law, including the Minnesota Government Data

Practices Act (MGDPA). In accordance with these legal requirements, the University will make reasonable efforts to protect the privacy of participants while also fulfilling the need to gather information to assess the report, to take steps to eliminate sexual misconduct, prevent its recurrence, and remedy its effects, and to satisfy any due process rights of those accused of wrongdoing. The University will complete publicly available recordkeeping, including Clery Act reporting and disclosures, without the inclusion of personally identifying information about the complainant.

VIII. RECORDKEEPING

The University's Title IX Coordinator and designees will maintain appropriate records of all reports of sexual misconduct in accordance with the University's [Administrative Policy: Managing University Records and Information](#), including:

- the initial report, along with any supplements or amendments;
- relevant communications between the campus Title IX office, the complainant, the respondent, and others regarding the report or the investigation of the report;
- information relevant to the report that is obtained, gathered, or received during the investigation, including documentation or other information submitted by the complainant or respondent;
- investigator notes;
- witness statements;
- written findings; and
- other documentation relied upon by the investigator or otherwise relevant to the investigation of the report.

IX. ANNUAL REVIEW

The Office of Equal Opportunity and Affirmative Action (EOAA) will annually review and update this policy as appropriate. The annual review will include an evaluation of, at a minimum, any changes in legal requirements, existing University resources, and the resolution of cases from the preceding year (including, but not limited to, the timeframes for completion of these cases and sanctions and remedies imposed).

X. TRAINING

To facilitate the goals of this policy, the University will conduct ongoing prevention, awareness, and training programs for employees and students. The University will also provide training for all employees responsible for implementing this policy (including Title IX Coordinators, investigators and adjudicators) on the process of handling reports of sexual misconduct, the University grievance procedures and confidentiality requirements.

REASON FOR POLICY

The University adopts this policy with a commitment to: (1) taking prompt and equitable action to eliminate, prevent and address the effects of sexual misconduct; (2) fostering a trusting environment where sexual misconduct is not tolerated; (3) cultivating a climate where all persons are well-informed and supported with respect to reporting sexual misconduct; (4) providing a fair and impartial process for all parties; and (5) identifying the standards by which violations of this policy will be evaluated and disciplinary action may be imposed.

PROCEDURES

There are no procedures associated with this policy.

FORMS/INSTRUCTIONS

There are no forms associated with this policy.

APPENDICES

See below.

FREQUENTLY ASKED QUESTIONS

Appendix A – Frequently Asked Questions: Employees’ Obligation to Report Sexual Misconduct to EOAA

Appendix B – Frequently Asked Questions: Supervisor Obligations

Appendix C – Frequently Asked Questions: Investigations and Accommodations

Appendix D – Roles and Responsibilities of Advisors

Appendix E – Frequently Asked Questions: Retaliation

ADDITIONAL CONTACTS

Subject	Contact	Phone	Fax/Email
Primary Contact	Tina Marisam	612-626-9357	
Policy or process questions	Campus Title IX Offices (see below)		

CAMPUS TITLE IX OFFICES

Sexual misconduct reports can be made to the University’s campus Title IX offices listed here. As described in this policy, upon learning of certain types of sexual misconduct, employees must contact their campus Title IX office to satisfy their sexual misconduct reporting obligations.

Subject	Contact	Phone	Email
Crookston Campus			
Title IX Coordinator	Peter Phaiah Associate Vice Chancellor for Student Affairs 14-J Sargeant Student Ctr Crookston, MN	218-281-8505	phaiah@crk.umn.edu
Duluth Campus			
Title IX Coordinator	Lisa Erwin Vice Chancellor for Student Life and Dean of Students 245 Kirby Plaza 1208 Kirby Drive Duluth, MN 55812	218-726-8502	vcsl@d.umn.edu
Morris Campus			
Title IX Coordinator	Sarah Mattson Director of Human Resources 201 Behmler Hall 600 East 4 th Street Morris, MN 56267	320-589-6021	mattsosj@morris.umn.edu

Rochester Campus			
Title IX Coordinator	Andrea Wilson Director of Human Resources University Square 111 South Broadway, Suite 300 Rochester, MN 55904	507-268-8010	wils1236@r.umn.edu
Twin Cities Campus			
Title IX Coordinator	Tina Marisam Director of the Office of Equal Opportunity and Affirmative Action McNamara Alumni Center, Room 274 200 Oak Street SE Minneapolis, MN 55455	612-626-9357	eoaa@umn.edu

UREPORT/ETHICSPPOINT

Reports of sexual misconduct, including anonymous reports, may be submitted 24 hours a day through the University's UReport/EthicsPoint reporting system. Reports of sexual misconduct made through UReport/EthicsPoint will be forwarded to the appropriate campus Title IX office, which will address the concerns through investigation or informal channels when possible given the nature and specificity of the report. However, reporting about sexual misconduct through UReport/EthicsPoint does not satisfy the obligation of University employees as set forth above in Section II to report incidents of sexual misconduct to the Title IX offices. Similarly, anonymous reporting in any other form also does not satisfy this reporting obligation.

Subject	Contact	Phone
All Campuses		
	https://secure.ethicspoint.com/domain/media/en/gui/9167	1-866-294-8680

LAW ENFORCEMENT

Employees, students and third parties can report crimes to the law enforcement agency for the jurisdiction in which they are located. Complainants have the option to report a crime to the appropriate law enforcement agency, to report sexual misconduct to the appropriate Title IX office or to report to both investigative bodies simultaneously. Even if a criminal investigation is ongoing, the University will conduct its own Title IX investigation and will not wait for the conclusion of a criminal investigation or proceeding to begin its Title IX investigation. However, the University may temporarily delay the fact-finding portion of a Title IX investigation while law enforcement is gathering evidence to avoid interfering with the criminal investigation.

Subject	Contact	Phone	Fax/Email
Crookston Campus			
	The City of Crookston Police Department 321 West Robert Street Crookston, MN 56716	218-281-3111	
Duluth Campus			
	University of Minnesota-		

	Duluth Police Department 287 Darland Admin Bldg 1049 University Drive Duluth, MN 55812	218-726-7000	umdpd@d.umn.edu
	Duluth Police Department 2030 North Arlington Avenue Duluth, MN 55811	218-730-5400	police@duluthmn.gov
Morris Campus			
	University of Minnesota Morris Campus Police Behmler Hall 6 600 East Fourth Street Morris, MN 56267	320-589-6000	ummpd@morris.umn.edu
	Morris Police Department 400 Colorado Avenue Morris, MN 56267	320-208-6500	mpd@co.stevens.mn.us
Rochester Campus			
	Rochester Law Enforcement Center 101 Fourth Street Southeast Rochester, MN 55902	507-328-6810	
Twin Cities Campus			
	University of Minnesota Police Department 511 Washington Ave. SE Minneapolis, MN 55455	612-624-2677	police@umn.edu
	St. Paul Police Department 367 Grove Street St. Paul, MN 55101	651-291-1111	policeinfo@ci.stpaul.mn.us
	Minneapolis Police Department 350 South 5th Street, Room 130 Minneapolis, MN 55415-1389	612-673-2941 (Sex crimes unit)	

RESOURCES FOR COMPLAINANTS

The following resources offer free and confidential services for complainants, including advocacy, counseling, emotional support and/or guidance through law enforcement and University reporting processes. These resources are available to complainants regardless of whether they choose to report the sexual misconduct they experienced to law enforcement or the campus Title IX office.

Subject	Contact	Phone	Fax/Email
Crookston Campus			
	Polk County Coordinated Victim Services	218-281-1554 1-800-524-1993	

	UMC Counseling Center	218-281-8571 218-281-8348	
	Campus Nurse	218-281-8512	
Duluth Campus			
	Women's Resource and Action Center (WRAC)	218-726-6292	
	Program for Aid to Victims of Sexual Assault (PAVSA)	218-726-1931	
	Counseling: Health Services	218-726-7913	
Morris Campus			
	Someplace Safe (providing crime victim advocacy)	1-800-974-3359	
	Student Counseling	320-589-6060	
Rochester Campus			
	Crisis Hotline	507-269-4511	
	Student Health Services	507-292-7250	
Twin Cities Campus			
	The Aurora Center	24 Hour Helpline: 612-626-9111 Office Line: 612-626-2929	aurora@umn.edu
	Boynton Mental Health	Office line: 612-625-8400 24 hour Crisis Connection counselors: 612-301-4673	
	Student Counseling Services	612-624-3323	counseling@umn.edu

The University's Employee Assistance Program (EAP) is available to benefits-eligible employees on all system campuses. EAP provides confidential professional consultation and referral services to address any personal or work concern that may be affecting one's wellbeing. EAP can be reached at 612-625-2820, 1-888-243-5744 or eap@umn.edu.

RESOURCES FOR RESPONDENTS

The offices in the table below provide advocates to assist respondent students through the University's investigative and post-investigative processes.

Subject	Contact	Phone	Fax/Email
Crookston Campus			
	Title IX Coordinator	218-281-8505	phaiah@crk.umn.edu

Duluth Campus			
	Student Life	218-726-8501	vcsl@d.umn.edu
Morris Campus			
	Student Affairs	320-589-6013	ummvcsa@morris.umn.edu
Twin Cities Campus			
	Student Conflict Resolution Center	612-624-7272	sos@umn.edu

The table below provides confidential resources for respondent students.

Campus	Contact	Phone
Crookston		
	UMC Counseling Center	218-281-8571 218-281-8348
Duluth		
	Counseling: Health Services	218-726-7913
Morris		
	Student Counseling	320-589-6060
Rochester		
	Student Health Services	507-292-7250
Twin Cities		
	Boynton Mental Health	Office line: 612-625-8400 24 hour counselors: 612-301-4673
	Student Counseling Services	612-624-3323

The University's Employee Assistance Program (EAP) is available to benefits-eligible employees on all system campuses. EAP provides confidential professional consultation and referral services to address any personal or work concern that may be affecting one's wellbeing. EAP can be reached at 612-625-2820, 1-888-243-5744 or eap@umn.edu.

U.S. DEPARTMENT OF EDUCATION, OFFICE FOR CIVIL RIGHTS

Individuals with questions regarding this policy or the application of this policy may also contact the U.S. Department of Education, Office for Civil Rights, which is the federal agency that enforces Title IX of the Education Amendments of 1972.

Subject	Contact	Phone	Fax/Email
Federal government contact			
	U.S. Department of Education 500 W. Madison Street, Suite 1427	312-730-1700	312-730-1704

	Chicago, IL 60661		
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DEFINITIONS

COMPLAINANT

An individual is a “complainant” when the University learns that the individual may have experienced sexual misconduct. Such an individual is referred to as a “complainant” and assisted under this policy even if the individual has not reported sexual misconduct to the University or pursued a sexual misconduct investigation under this policy.

RESPONDENT

An individual is a “respondent” when the University learns that the individual is alleged to have engaged in conduct that could constitute sexual misconduct under this policy.

RETALIATION

Retaliation means taking an adverse action against an individual because of the individual’s good faith participation in reporting sexual misconduct, expressing opposition to sexual misconduct to at least one other person, participating in an investigation related to a sexual misconduct allegation, or accessing Conflict Resolution Services to resolve a conflict related to sexual misconduct.

Adverse actions may include, but are not limited to: impeding the individual’s academic advancement; departing from any customary academic or employment practice regarding the individual; firing, refusing to hire, or refusing to promote the individual; transferring or assigning the individual to a lesser position in terms of wages, hours, job classification, job security, employment or academic status; threatening or marginalizing an individual and taking any other action that might deter a reasonable person from engaging in an activity protected by this policy. In some situations, an adverse action may also include informing people who do not have a need to know that an individual has engaged in activity protected by this policy.

For more information on retaliation, see Appendix E.

SEXUAL MISCONDUCT

Sexual misconduct includes sexual assault, relationship violence, stalking, sexual harassment and related retaliation. This definition applies regardless of whether the complainant or respondent is a student, employee or third party.

- A. **Sexual assault** is actual, attempted or threatened sexual contact without affirmative consent.
 1. **Sexual contact** is intentional sexual touching with an object or body part that, depending on the context, may include, but is not limited to: (a) intentionally touching the breasts, buttocks, groin or genitals of another individual; (b) intentionally touching another individual with any of these body parts; and (c) making an individual touch another individual or themselves with, or on, any of these body parts. Sexual contact can occur whether or not an individual’s body parts are covered by clothing.
 - i. **Sexual penetration** is sexual contact that includes, but is not limited to: (a) vaginal penetration by a penis, tongue, finger or any other body part or object; (b) anal penetration by a penis, tongue, finger or any other body part or object; and

(c) contact between the mouth of one individual and the genitalia of another individual.

2. **Affirmative consent** is an informed, freely and affirmatively communicated willingness to participate in sexual contact that is expressed by clear and unambiguous words or actions. Clear and unambiguous words and actions are those that are freely and actively given by informed individuals that a reasonable person would believe communicate a willingness to participate in mutually agreed upon sexual contact. This definition of consent does not vary based upon an individual's sex, sexual orientation, gender identity or gender expression. The following factors will be considered when determining consent.

- It is the responsibility of each individual who wishes to engage in sexual contact to obtain consent from the other individual or individuals.
- A lack of protest, the absence of resistance, and silence do not by themselves indicate consent.
- The existence of a present or past sexual, dating or other romantic relationship between the individuals involved does not by itself imply consent to sexual contact.
- Consent must be present throughout the sexual contact and may be given and withdrawn at any time.
- When consent is withdrawn, all sexual contact must stop. Likewise, where there is confusion about the state of consent, sexual contact must stop until both individuals consent again.
- Consent to one form of sexual contact does not by itself constitute consent to another form of sexual contact.

Consent is not obtained where:

- An individual is compelled to engage in unwanted sexual contact through the use of physical force, threats, intimidation or coercion. Coercion consists of severe or persistent pressure that would reasonably cause an individual to fear significant consequences if they refuse to engage in sexual contact.
- An individual involved in sexual contact is incapacitated due to the influence of drugs or alcohol, and a sober, reasonable person would know of this incapacitation. Incapacitation due to the influence of drugs or alcohol is a state beyond mere intoxication or impaired judgment. Some indicators of incapacitation due to the influence of drugs or alcohol may include:
 - A lack of control over one's physical movement (for example, an inability to walk or stand without stumbling or assistance).
 - An inability to effectively communicate (for example, where one's speech is heavily slurred, incomprehensible or nonsensical).
 - A lack of awareness of one's circumstances or surroundings (for example, a lack of awareness of where one is, how one got there, who one is with and how or why one became engaged in sexual contact).If there is any doubt as to whether another individual is incapacitated, one should assume that the individual does not have the capacity to give consent.
- An individual involved in sexual contact is unable to communicate or understand the nature or extent of the sexual situation because of a physical or mental condition.
- An individual involved in sexual contact is asleep, unconscious or involuntarily physically restrained.
- An individual involved in sexual contact is not of legal age to give consent pursuant to Minnesota state law.

B. **Sexual harassment** is unwelcome conduct of a sexual nature under either of the following conditions:

- When submission to such conduct is implicitly or explicitly: (1) made a condition of an individual's employment or academic standing or advancement; or (2) used as the basis of an employment or academic decision affecting that individual (quid pro quo sexual harassment).
- When the conduct is: (1) severe, persistent or pervasive; and (2) unreasonably interferes with an individual's employment or academic performance or creates a work or academic environment that a reasonable person would find to be intimidating or hostile (hostile environment sexual harassment).

Conduct will be considered unwelcome when an individual did not request or invite it and the individual found the conduct to be undesirable or offensive. An individual's acquiescence to the conduct, or failure to complain about the conduct, does not necessarily mean that the conduct was welcome.

Sexual harassment may include conduct that is verbal, nonverbal, graphic and/or physical. Individuals of all genders can be victims of sexual harassment, and the complainant and respondent can be of the same or different genders. The following conduct may, if sufficiently egregious, constitute sexual harassment:

- Unwelcome sexual advances, including touching or sexual comments.
- Implicit or explicit requests for sexual favors in exchange for employment or academic benefits.
- Distributing ratings of individuals' attractiveness or sexual activity or performance.
- A pattern of sexually suggestive comments, jokes or gestures.
- Sexual exploitation: Taking sexual advantage of a person, which may include, but is not limited to, unwelcome: (1) exposure of one's genitals to another person; (2) distribution of sexual information, images or recordings about another person; (3) induction of incapacitation in another person with the intent to render them vulnerable to nonconsensual sexual contact or sexual exploitation, regardless of whether prohibited sexual conduct occurs as a result; (4) observation or recording of sexual activity or nudity where there is a reasonable expectation of privacy; and (5) exposure of another person to a sexually transmitted infection without their knowledge.

A hostile environment can be created by persistent or pervasive unwelcome conduct of a sexual nature. It can also be created by a severe single or isolated incident.

- C. **Stalking** is a course of conduct directed at a specific individual that is unwanted, unwelcome, or unreciprocated and that would cause a reasonable person to feel fear for their safety or suffer substantial emotional distress. A course of conduct is two or more acts including, but not limited to, acts in which an individual directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about another individual, or interferes with another individual's property.

Stalking includes "cyber-stalking," in which an individual uses electronic media, such as the internet, social networks, blogs, cell phones, texts, or other methods or forms of contact to engage in stalking.

- D. **Relationship violence** is actual, attempted or threatened physical harm by an individual who is, or has been, in a sexual, dating, spousal, or other romantic relationship with the individual receiving the actual, attempted or threatened harm.

UNIVERSITY EMPLOYEES

University employees include the following individuals:

- a. all individuals defined as employees by the Board of Regents Policy: *Employee Group Definitions*, including:
 - i. faculty
 - ii. academic professionals
 - iii. academic administrators
 - iv. professionals in training (including postdoctoral associates)
 - v. civil service staff
 - vi. union-represented staff
 - vii. graduate assistants
 - viii. student employees
 - b. fellows;
 - c. temporary employees; and
 - d. third parties serving in instructional roles at the University.
-

RESPONSIBILITIES

Counseling Services Offices

Provide counseling services and referrals.

Campus Title IX Offices and Officials

Provide consultations regarding sexual misconduct policies and procedures. Receive reports of sexual misconduct. Investigate, or oversee investigations of, sexual misconduct reports.

Health Care Services

Provide health care and counseling, and referrals.

Housing/Residential Life Offices

Provide assistance to residents, including changing living situations if requested and reasonably available.

Police Departments

- Investigate allegations for possible criminal prosecution.
- Refer complainants to appropriate campus resources for personal support and investigation.
- Provide for campus safety and security.
- Provide timely warnings as appropriate.

Student Conduct Offices

- Respond to and resolve allegations by students consistent with the Student Conduct Code. This includes advising and sanctioning student offenders when warranted. Some offices also investigate allegations.
- Provide resource and guidance for University presenters in sexual misconduct hearings and hearing panel board members and chairs.

Victim/Survivor Services

- Maintain all contacts and reports as strictly confidential.
- Provide crisis intervention and advocacy.
- Assist victim/survivor in contacting police and/or reporting to other University offices, if the victim/survivor consents (some can assist in obtaining restraining orders).
- Assist victim/survivor in obtaining medical assistance and counseling, changing academic programs or housing, etc.
- Campus-based programs will also provide awareness, prevention and risk-reduction training, and educational programming for students and employees.

RELATED INFORMATION

- Board of Regents Policy: [Student Conduct Code](#)
- Board of Regents Policy: [Code of Conduct](#)
- Board of Regents Policy: [Sexual Misconduct](#)
- Board of Regents Policy: *Employee Group Definitions*
- Administrative Policy: [Retaliation](#)
- Administrative Policy: *Graduate Assistant Employment*
- Regulations Concerning Faculty Tenure
- [Civil Service Rules](#)
- Academic Professional and Administrative employee policies and procedures
- [All Collective Bargaining Contracts](#)
- [Sexual Assault Victim's Rights Statement](#)

HISTORY

DRAFT



Frequently Asked Questions: Employees' Obligation to Report Sexual Misconduct to the Campus Title IX Office

Related Policy: Sexual Misconduct

What is the scope of employees' reporting obligation?

- 1. Do I have a reporting obligation if a student disclosed to me that they experienced sexual misconduct and I know the student went to the police and is working with the sexual misconduct advocacy office or another personal support resource?**

Yes. Employees are required to report allegations of sexual misconduct to the campus Title IX office, even if the police are involved (a police investigation is separate from the campus Title IX office investigation) and even if the complainant is known to be receiving personal support.

- 2. Do I have a reporting obligation if a student disclosed to me that they experienced sexual misconduct by a stranger while they were studying abroad on a University of Minnesota program?**

Yes. The study abroad program is considered a University program. Although the University may not be able to investigate the allegation, the disclosure will permit the University to fulfill its obligations to provide the complainant with information about resources available to them. Also, the disclosure may permit the University to take actions such as conducting a review of policies and procedures, reviewing safety measures, or providing additional training or education.

- 3. Do I have a reporting obligation if an employee disclosed to me only that they were sexually assaulted?**

Yes. Employees are required to report allegations of sexual assault to the campus Title IX office if it is possible that the sexual assault: (1) occurred on University property; (2) occurred during a University employment or education program or activity; (3) was directed at a current University member while they were affiliated with the University; or (4) was committed by a current University member. In most cases, employees will need to report to the campus Title IX office because they will have insufficient information about a particular allegation to know that it does not need to be reported.

- 4. Do I have a reporting obligation if a student disclosed to me that they were sexually assaulted in the past (before coming to the University of Minnesota) by someone who is not a University member?**

No. In this situation you do not need to report the prior assault to the campus Title IX office. You are strongly encouraged to provide this student with information about resources for counseling and advocacy services. The campus Title IX office can provide you with this information.

- 5. Do I have a reporting obligation if I learn about sexual misconduct in my personal capacity and not as an employee?**

No. If a family member, friend or other person discloses sexual misconduct to you outside of the employment context, you are not required to report that allegation to the campus Title IX office. If you are unclear about whether sexual misconduct was disclosed to you in the context of your employment, please contact the campus Title IX office for guidance.

If the person disclosing sexual misconduct to you is a University member, you are strongly encouraged to provide them with information about resources for counseling, advocacy services and investigations. The campus Title IX office can provide you with this information.

- 6. I am a graduate student who is also employed as research assistant. While working in the lab, another research assistant (who is also a member of my cohort and a friend) shares that they were sexually assaulted by another student last weekend. Do I have a reporting obligation here?**

Probably not. If the complainant shared this information as a friend, and you are not a supervisor, you do not need to report this information to the campus Title IX office, even if you learned about it during work hours. If you are unclear about whether you need to report sexual misconduct that was disclosed to you, please contact the campus Title IX office for guidance.

If the person disclosing sexual misconduct to you is a University member, you are strongly encouraged to provide them with information about resources for counseling, advocacy services and investigations. The campus Title IX office can provide you with this information.

- 7. Do I have a reporting obligation if I observe bruises on a student and I suspect the student is being physically abused, but the student has not shared any information with me about the cause of the bruises?**

No, unless a third party informs you that the student has alleged that relationship violence occurred. You are strongly encouraged to ask if the student is okay, and to provide the student with information about resources for counseling, advocacy services and investigations. The campus Title IX office can provide you with this information.

- 8. Do I have a reporting obligation if a student discloses sexual misconduct to me in a written assignment?**

Yes. Employees are required to report allegations of sexual misconduct to the campus Title IX office that they learn about in the context of their employment, regardless of how they learn about these allegations.

- 9. I conduct research in the area of sexual misconduct. Will these reporting obligations affect my research and ability to promise confidentiality to research subjects?**

Disclosures made by research subjects in the context of a research project do not trigger reporting obligations. If you believe that a research project may elicit personal accounts of sexual misconduct, you should make clear to research participants in advance that disclosures made during the research project are not considered notice to the University. You are strongly encouraged to provide research participants with information about resources for counseling, advocacy services and investigations. The campus Title IX office can provide you with this information.

- 10. If sexual misconduct occurs off campus, does it need to be reported to the campus Title IX office?**

Yes, if either the respondent or complainant is a current University member or if the sexual misconduct may have occurred in the context of a University program or activity. In most cases, employees will need to report to the campus Title IX office because they will have insufficient information about a particular allegation to know that it does not need to be reported.

- 11. A student informed me about being in a past abusive relationship with another University student but assured me that there is no continuing abuse. The last incident of violence occurred six months ago, while both were students at the University. Am I required to report this?**

Yes. Employees are required to report allegations of relationship violence to the campus Title IX office when the respondent and/or complainant was a University member at the time the relationship violence incident occurred.

- 12. At a public demonstration, in front of a big crowd, a student announced that they have experienced stalking. Am I required to report this?**

No. When a student discloses sexual misconduct at a public awareness or activism event or in other public forums where people are disclosing their experiences with sexual misconduct, you do not need to report to the campus Title IX office. In contrast, a disclosure made by a complainant in class, electronically, during office hours, meetings, or in other conversations must be reported.

- 13. I am a graduate teaching assistant. What are my reporting obligations?**

Graduate teaching assistants are employees pursuant to this policy. Therefore, you are required to report sexual misconduct that you learn about in the course of your teaching assistantship. If you have questions about whether you learned about sexual misconduct in the course of your teaching assistantship, please contact the campus Title IX office for guidance.

14. I am a community advisor (CA) in a residence hall. What are my reporting obligations?

CAs are considered employees pursuant to this policy. Therefore, you are required to report sexual misconduct that you learn about in the course of your CA role. If you have questions about whether you learned about sexual misconduct in the course of your CA role, please contact the campus Title IX office for guidance.

15. I am a student employee who does not work in Housing & Residential Life. What are my reporting obligations?

Student employees at the University are considered employees pursuant to this policy. Therefore, you are required to report sexual misconduct that you learn about in the course of your student employment. If you have questions about whether you learned about sexual misconduct in the course of your student employment, please contact the campus Title IX office for guidance.

16. I am a fellow. What are my reporting obligations?

Fellows at the University are considered employees pursuant to this policy. Therefore, you are required to report sexual misconduct that you learn about in the course of your fellowship. If you have questions about whether you learned about sexual misconduct in the course of your fellowship, please contact the campus Title IX office for guidance.

17. I am the leader of a student organization. Am I required to report sexual misconduct?

No. Leaders of student organizations are not considered employees pursuant to this policy. Therefore, you are not required to report sexual misconduct that you learn about in the course of your leadership role. If a student discloses sexual misconduct to you, you are strongly encouraged to provide this student with information about resources for counseling, advocacy services and investigations. The campus Title IX office can provide you with this information.

18. Do my reporting obligations change if a student who disclosed that they experienced sexual misconduct is under the age of 18?

Yes. Sexual misconduct involving a minor may be child abuse. Therefore, you are obligated to not only report this sexual misconduct to the campus Title IX office, but also to report to the local police department (including the University Police Departments), county sheriff or local social services agency within 24 hours. For additional information about your obligation to report sexual misconduct involving a minor, please see the [Reporting and Addressing Concerns of Misconduct](#) policy.

What happens after an employee reports sexual misconduct to the campus Title IX office?

19. What happens when a report is made to the campus Title IX office?

The campus Title IX office will reach out (usually via email) to the complainant to provide resources for personal support and investigation.

In most cases of alleged sexual misconduct involving a student respondent, the campus Title IX office will not conduct an investigation if the complainant does not want to initiate one. In limited circumstances, the campus Title IX office may need to conduct an investigation despite a complainant's desire not to initiate one. For example, the campus Title IX office may need to conduct an investigation if it has sufficient information about the alleged sexual misconduct and if the respondent engaged in the alleged misconduct in the course of University employment or the allegation indicates that the respondent may present a danger or threat to the health or safety of University members.

The campus Title IX office will consider the following factors, among others, in order to determine whether an allegation indicates that the respondent may present a danger or threat: whether the respondent is alleged to have used a weapon while committing sexual misconduct; whether the respondent is alleged to have used force while committing sexual misconduct; or whether the

respondent has been alleged to have committed sexual assault, relationship violence or stalking against multiple complainants.

In cases of alleged sexual misconduct involving an employee respondent, the campus Title IX office will consult with the impacted unit and Human Resources to decide how best to respond to the report. In some cases, the impacted unit or Human Resources will ultimately address the matter.

20. If a report of sexual misconduct is made to the police, will this information be shared with the campus Title IX office?

Generally not. When a complainant files a report with the police, the police do not typically forward the report to the campus Title IX office for investigation. The University of Minnesota Police Department may forward a sexual misconduct report to the campus Title IX office with the complainant's consent.

21. If a report of sexual misconduct is made to the campus Title IX office, will this information be shared with the police?

No. The campus Title IX office does not report sexual misconduct to the police. Rather, the campus Title IX office encourages complainants to report to the police and informs them that individuals from the various campus personal support resources for complainants can assist them in making a police report.

22. If I report sexual misconduct to the campus Title IX office, will my identity be disclosed to anyone?

The campus Title IX office prefers to share the reporter's identity with the complainant so that the complainant understands how the campus Title IX office received the information that the complainant may have experienced sexual misconduct. However, the campus Title IX office will work with the reporter to address the situation in the most sensitive manner possible. In certain circumstances where the reporter has a legitimate need to remain confidential, the campus Title IX office has the discretion to keep the reporter's identity confidential.

Other questions

23. Should I advise students of my reporting obligations in advance?

Yes. If you interact with students regularly, you should notify them about your obligations to report sexual misconduct to the campus Title IX office. This may be done in many ways including, but not limited to, in one-on-one meetings with students, group meetings, and course syllabi.

24. What will happen if I do not report sexual misconduct as I am required to do?

If you do not report this information to the campus Title IX office, the impacted student may not receive important information about the resources available for personal support and investigation.

In addition, when an employee fails to report sexual misconduct to the campus Title IX office, the campus Title IX office may share this information with the employee's supervisor or department head so that appropriate responsive action can be taken. In most cases, the appropriate responsive action will be requiring the individual to take additional training on their sexual misconduct reporting requirements, although disciplinary action may be appropriate in cases where an employee deliberately fails to fulfill this reporting requirement.

25. Does the University offer training for departments or colleges related to employee reporting obligations?

Yes, please contact the campus Title IX office for more information about training options on each campus.



APPENDIX B TO POLICY

Frequently Asked Questions: Supervisor Obligations

Related Policy: Sexual Misconduct Policy

1. When does a supervisor “know or reasonably should know” of concerns of sexual misconduct?

A supervisor who observes or learns about sexual misconduct “knows or reasonably should know” of sexual misconduct. A supervisor “knows or reasonably should know” of the sexual misconduct in this situation even if no one complains about it.

A supervisor who receives a report of sexual misconduct “knows or reasonably should know” of concerns of sexual misconduct. A supervisor “knows or reasonably should know” of the sexual misconduct concerns even if the reporter does not identify the concerns as “sexual misconduct” or does not refer to the Sexual Misconduct Policy.

A supervisor “knows or reasonably should know” of sexual misconduct concerns even if the supervisor does not believe that reported sexual misconduct occurred or violated the Sexual Misconduct Policy.

2. What is “prompt” action?

A supervisor should act with reasonable promptness when learning about sexual misconduct. In some cases, a supervisor might have to act immediately upon learning about the sexual misconduct. For example, if there is an immediate safety concern, the supervisor should take immediate action. In other cases, immediate action may not be required. However, in most cases, supervisors should take some action within a few days of learning about the misconduct.

3. What is “appropriate” action?

The type of action a supervisor must take when learning about sexual misconduct depends on the circumstances. Below is a list with some examples of actions that a supervisor might consider. The list is not an exhaustive list of possible actions and, in some cases, taking the listed examples will not be appropriate. Supervisors should consult with appropriate resources to help determine what appropriate actions should be taken in a particular situation. Supervisors should also document any actions taken.

- Provide resources for personal support to the complainant.
- Make temporary, non-retaliatory employment changes that remove any continued impact on the complainant.
- Talk with the respondent about the sexual misconduct concerns and set expectations for future conduct.
- Initiate an investigation into the sexual misconduct.
- Follow up with the complainant.

The supervisor should not promise confidentiality to the complainant.

4. Where can a supervisor go for guidance in fulfilling the “prompt and appropriate action” obligation?

A supervisor should consult with Human Resources, the Equal Opportunity and Affirmative Action office, a supervisor, and/or another administrative leader when determining what prompt and appropriate action should be taken.



APPENDIX C TO POLICY

Frequently Asked Questions: Investigations and Accommodations

Related Policy: Sexual Misconduct

Common Questions from Complainants

1. Who can I call for help? Are there any confidential resources available to me?

The following resources offer free and confidential services for complainants, including advocacy, counseling, emotional support and/or guidance through law enforcement and University reporting processes. These resources are available to complainants regardless of whether they choose to report the sexual misconduct they experienced to law enforcement or the campus Title IX office.

Campus	Contact	Phone
Crookston	Polk County Coordinated Victim Services	218-281-1554 1-800-524-1993
	UMC Counseling Center	218-281-8571 218-281-8348
	Campus Nurse	218-281-8512
Duluth	Women’s Resource and Action Center (WRAC)	218-726-6292
	Program for Aid to Victims of Sexual Assault (PAVSA)	218-726-1931
	Counseling: Health Services	218-726-7913
Morris	Someplace Safe (providing crime victim advocacy)	1-800-974-3359
	Student Counseling	320-589-6060
Rochester	Crisis Hotline	507-269-4511
	Student Health Services	507-292-7250
Twin Cities	The Aurora Center	24 Hour Helpline: 612-626-9111 Office Line: 612-626-2929
	Boynton Mental Health	Office line: 612-625-8400 24 hr counselors: 612-301-4673
	Student Counseling Services	612-624-3323

The University’s Employee Assistance Program (EAP) is available to benefits-eligible employees on all system campuses. EAP provides confidential professional consultation and referral services to address any personal or work concern that may be affecting one’s wellbeing. EAP can be reached at 612-625-2820, 1-888-243-5744 or eap@umn.edu.

2. I share a class or residence hall with the person who sexually assaulted me. Can someone help me change that?

The campus housing and residential life office, the various campus personal support resources and the campus Title IX office can assist complainants with requests for these types of accommodations and protective measures.

3. I missed a class/exam/assignment because I was sexually assaulted. Can someone help me address that?

Academic advisors and departments, the various campus personal support resources for complainants and the campus Title IX office can assist complainants with requests for these types of accommodations and protective measures.

4. How do I get a Personal Protection Order?

Advocates at the various campus personal support resources for complainants can assist you in completing an application for Personal Protection Orders and with other safety planning.

5. Do I have to file a police report if I have experienced sexual misconduct?

No. If you have experienced sexual misconduct, you are encouraged to file a police report. However, whether to file a police report is your choice. You can initiate an investigation at the University without having to file a police report.

6. Do I have to initiate a University investigation if I have experienced sexual misconduct?

No, you do not need to initiate an investigation if you have experienced sexual misconduct.

7. If I initiate an investigation, will my parents find out?

No. The University does not contact your parents when you initiate an investigation. If you are under eighteen, however, and have disclosed sexual misconduct, the University may be obligated to contact your parents or legal guardians.

8. Who can explain the investigation process to me?

The campus Title IX office can explain the investigation process to you. You can ask the campus Title IX office about the investigation process without sharing any information about your experience. You can also contact the various campus personal support resources for complainants for assistance.

9. Are there resources on campus that can support me through the investigation process?

Yes, the various campus personal support resources for complainants can provide support and advocacy for you during the investigation process, and an advocate from the various campus personal support resources for complainants may accompany you to any campus Title IX office meetings.

10. Can I bring someone to the campus Title IX office meeting?

If you are a student on the Twin Cities campus, you may have up to two advisors of your choice present during the meeting. Advisors may include a victim-survivor support advocate, an attorney or another advisor, so long as the advisor is not a witness with information about facts material to the investigation.

If you are an employee on the Twin Cities campus who is a party in a sexual assault, stalking or relationship violence matter, you may have an attorney, union representative, or another advisor present during the meeting, so long as the advisor is not a witness with information about facts material to the investigation.

If you are an employee on the Twin Cities campus who is a party in a sexual harassment or retaliation matter, you may have an attorney, victim's advocate or union representative present during the meeting.

For the other system campuses' policies on the extent to which complainants and respondents can designate advisors to attend meetings in the investigation process, please contact the campus Title IX office.

11. Is there a time limit for initiating an investigation?

No. There is no time limit for initiating an investigation. However, the University is limited in the responsive action it can take once a respondent is no longer a University member. Moreover, the amount of evidence that the campus Title IX office or its designee is able to gather about the sexual misconduct incident may decrease as time passes.

12. If I report that I was sexually assaulted while incapacitated by drugs or alcohol, will I get in trouble?

No. If you decide to initiate an investigation, the campus Title IX office will focus the investigation on the alleged sexual misconduct. The University will not investigate whether you, the respondent or any witness violated the student conduct code related to drug or alcohol consumption. However, this amnesty provision does not apply to a person who has given another person alcohol or drugs without their knowledge and with the intent of causing them to become incapacitated.

13. Is it possible for a complainant to remain anonymous during an investigation?

In most cases, no. The University's commitment to procedural fairness typically requires that a respondent be provided with the complainant's name. However, the campus Title IX office or its designee will determine if a request for anonymity can be honored on a case-by-case basis.

14. If a complainant does not want the University to investigate, does that mean nothing will happen?

Not necessarily. Even when a complainant does not initiate an investigation, the University may take action. Depending on the particular situation, such action might include:

- providing academic, housing or employment accommodations;
- providing training or education;
- making campus or facility safety improvements;
- reviewing policies or procedures with employees; or
- an investigation, in limited cases where the University is obligated to investigate even without the complainant's assent.

This is not an exhaustive list.

15. I am not affiliated with the University. Can I initiate an investigation against a University member?

Yes, if the alleged sexual conduct occurred on University property, in the context of a University employment or education program or activity, or if the allegation indicates that the respondent may present a danger or threat to the health or safety of University members. The campus Title IX office will consider the following factors, among others, in order to determine whether an allegation indicates that the respondent may present a danger or threat: whether the respondent is alleged to have used a weapon while committing sexual misconduct; whether the respondent is alleged to have used force while committing sexual misconduct; and whether the respondent has been alleged to have committed sexual assault, relationship violence or stalking against multiple complainants.

16. Can I report sexual misconduct to the campus Title IX office if the respondent is not a University member?

Yes. Although the University may not be able to investigate the incident and hold the respondent accountable, the campus Title IX office may be able to assist you in other ways, including providing information about the resources and support services available to you, helping you file a complaint with the respondent's institution or taking other appropriate steps to protect the University community.

17. Will the campus Title IX office access my medical information, such as the results of my sexual assault evidentiary examination, during the course of the investigation?

If this information is relevant to the investigation, the campus Title IX office will ask the complainant to provide the information. Complainants may then decide to whether to provide this information to the campus Title IX office.

Common Questions from Respondents

18. I have been accused of violating this policy. What happens next?

If your conduct is being investigated, the campus Title IX office or its designee will contact you to arrange a meeting and provide you with information about the investigative and applicable adjudicative processes. During the meeting, the campus Title IX office or its designee will share the specific allegations made against you and offer you the opportunity to provide information about these allegations. The campus Title IX office or its designee will ask you to identify other individuals who might have relevant information and to provide any other relevant evidence, such as text messages, videos, pictures, voicemails and other electronic communications or posts.

19. Can I bring someone to the campus Title IX office meeting?

If you are a student on the Twin Cities campus, you may have up to two advisors of your choice present during the meeting. Advisors may include a victim-survivor support advocate, an attorney or another advisor, so long as the advisor is not a witness with information about facts material to the investigation.

If you are an employee on the Twin Cities campus who is a party in a sexual assault, stalking or relationship violence matter, you may have an attorney, union representative, or another advisor present during the meeting, so long as the advisor is not a witness with information about facts material to the investigation.

If you are an employee on the Twin Cities campus who is a party in a sexual harassment or retaliation matter, you may have an attorney, victim’s advocate or union representative present during the meeting.

For the other system campuses’ policies on the extent to which complainants and respondents can designate advisors to attend meetings in the investigation process, please contact the campus Title IX office.

20. Should I hire an attorney?

The decision to hire an attorney is a personal one that should be made in consultation with trusted individuals who can help you weigh your options. For more information about how an advisor, such as an attorney, may assist you through this process, please see Appendix D.

21. Am I required to participate in the campus Title IX office investigation?

You are only required to meet with the campus Title IX office to hear the allegations and learn about the sexual misconduct investigative and adjudicative processes. You are not required to respond to the allegations or provide other information to the campus Title IX office. However, if you do not provide information, the investigation will proceed based on the information available.

22. Are there resources on campus that can help me through the investigation process?

If you are an employee, you can contact your union representative and/or human resources to find out whether there are resources available to assist you.

If you are a student, you can contact the following offices to determine what resources are available to assist you through the investigation process:

Crookston Campus	Title IX Coordinator	218-281-8505	phaiah@crk.umn.edu
Duluth Campus	Student Life	218-726-8501	vcsl@d.umn.edu
Morris Campus	Student Affairs	320-589-6013	ummvcsa@morris.umn.edu
Rochester Campus	Title IX Coordinator	507-258-8106	jthorn@r.umn.edu
Twin Cities Campus	Student Conflict Resolution Center	612-624-7272	sos@umn.edu

23. I am a student. Can the University move me from my class or residence hall room before an investigation concludes?

The University may move you to another residence hall during a sexual misconduct investigation. Under limited circumstances, the University may suspend respondents or limit their access to certain University buildings during a sexual misconduct investigation. Every effort is made to provide interim accommodations or protective measures in a way that minimize the burden on the individuals involved.

24. I am an employee. Can the University move me from my position before an investigation concludes?

Yes. In some cases, the University may suspend or reassign an employee during a sexual misconduct investigation. Every effort is made to provide interim accommodations and protective measures in a way that minimize the burden on the individuals involved.

25. Are there confidential resources available to me?

Yes. If you would like to speak with someone confidentially, you may contact:

Campus	Contact	Phone
Crookston	UMC Counseling Center	218-281-8571 218-281-8348
Duluth	Counseling: Health Services	218-726-7913
Morris	Student Counseling	320-589-6060
Rochester	Student Health Services	507-292-7250
Twin Cities	Boynton Mental Health	Office line: 612-625-8400
		24 hour counselors: 612-301-4673
	Student Counseling Services	612-624-3323

The University’s Employee Assistance Program (EAP) is available to benefits-eligible employees on all system campuses. EAP provides confidential professional consultation and referral services to address any personal or work concern that may be affecting one’s wellbeing. EAP can be reached at 612-625-2820, 1-888-243-5744 or eap@umn.edu.

General Questions

26. Will the campus Title IX office interview all witnesses that a complainant or respondent identifies?

The campus Title IX office or its designee will interview witnesses who are identified as having relevant information relating to the allegations. The campus Title IX office or its designee retains the discretion to determine which potential witnesses fall into this category. Generally, the campus Title IX office or its designee will not consider general information about a complainant’s or respondent’s character to fall into this category of relevant information, as this information has very low probative value and can be highly prejudicial.

27. Who has the burden of proof to find a policy violation?

When investigating a sexual misconduct report, the campus Title IX office or its designee will gather relevant information to determine whether the University’s policies have been violated using the preponderance of the evidence standard. In other words, the campus Title IX office or its designee will find a policy violation when it is more likely than not that conduct occurred in violation of University policy. Neither the respondent nor complainant has the burden to prove that sexual misconduct occurred or did not occur. The campus Title IX office or its designee will seek relevant information from the complainant, respondent and others as appropriate, but the burden to make the initial determination whether a policy violation has occurred rests with the campus Title IX office or its designee.



APPENDIX D TO POLICY

Roles and Responsibilities of Advisors

Related Policy: Sexual Misconduct Policy

I _____ am a participant in the University's sexual misconduct investigation and adjudication process (collectively, sexual misconduct processes). My advisor _____ and I (the advisee) have reviewed the information provided in this form and agree to abide by the obligations for advisors and advisees set forth in this form.

- One of the roles of the University's sexual misconduct processes is to determine whether a respondent has violated the Sexual Misconduct policy. In contrast, the corresponding role of criminal processes is to determine whether an accused person has violated criminal laws. As a result of these different roles, the University's sexual misconduct investigation and adjudication procedures differ from criminal investigation and adjudication procedures.
- During the sexual misconduct investigation conducted by the campus Title IX office or its designee, an advisor's role is to guide their advisee, not to speak for them or play an active role in the process. The advisor may be present for investigatory meetings, but may not actively participate unless the investigator invites them to do so. This means, in part, that it is the advisee who is to provide information to and respond to questions from the investigator, not the advisor.
- Advisors may attend meetings and hearings related to the sexual misconduct processes at the times that they have been scheduled. The University is not obligated to accommodate advisors' schedules or change scheduled meetings or hearings to accommodate advisors' inability to attend. However, the University will generally allow advisors to attend meetings and hearings by phone or video conferencing. Complainants and respondents choosing an advisor should consider the ability of potential advisors to attend meetings and hearings.
- Contact with the campus Title IX office should be through the complainant or respondent. Advisors should not directly contact the campus Title IX office on behalf of a complainant or respondent. An advisor who repeatedly contacts the campus Title IX office on behalf of a complainant or respondent may not be permitted to attend further meetings with this office.
- Advisors may not contact potential witnesses for the purpose of influencing their testimony or discouraging their participation in the sexual misconduct processes.
- Advisors may not engage in conduct that is retaliatory. An advisor's sharing of information about an investigation, or distribution of information obtained in an investigation, may in some cases constitute retaliation.
- Advisors are expected to advise with integrity and in good faith.
- Advisors who disrupt or fail to respect the limits of the advisor role will be asked to leave (or not attend) meetings or hearings. In these situations, the meeting or hearing will typically proceed without the advisor present. The Title IX Coordinator or a designee will determine whether the advisor will be permitted to continue to serve as an advisor in the process.
- Advisors may be provided otherwise confidential information in the course of the sexual misconduct processes, and agree to maintain the confidentiality of such information and to not disclose such

information other than for purposes of the representation of their advisee during the sexual misconduct processes.

By signing this form, I agree to abide by these terms.

Signature of Advisor

Date

Signature of Advisee

Date



Frequently Asked Questions: Retaliation

Related Policy: Sexual Misconduct

1. Is it retaliatory for a respondent to contact a complainant during or after a sexual misconduct investigation?

Depending on the nature of the contact, a respondent's contact with a complainant could be retaliation in violation of University policy. Therefore, we advise against it. In addition, a respondent's contact with a complainant during an investigation into the complainant's concerns could undermine the integrity of that investigation.

Where ongoing contact between the parties is necessary and appropriate, the Title IX office or its designee can help put measures in place to mitigate that contact. For example, in some cases involving coworkers, it might be necessary and appropriate for the parties to continue some contact in the employment setting. In these cases, the Title IX office or its designee may help implement requirements that a third party be present during meetings or be copied on emails between the parties, or some other intervention.

2. Can a complainant retaliate against a respondent?

The University's prohibition on retaliation is intended to encourage individuals to report sexual misconduct and participate in sexual misconduct investigations. To retaliate against a respondent under this policy, a complainant would need to take adverse action against the respondent because the respondent reported sexual misconduct, expressed opposition to sexual misconduct or participated in the sexual misconduct investigation. A complainant's adverse actions against a respondent for other reasons would not constitute prohibited retaliation.

3. Is it retaliation for a complainant to publicly state that the respondent engaged in sexual misconduct?

Generally not. This conduct would only constitute retaliation if done because the respondent reported sexual misconduct, expressed opposition to sexual misconduct or participated in a sexual misconduct investigation. However, a complainant's discussion with potential witnesses about the facts underlying an investigation or the investigation process, or public dissemination of this information, could undermine the integrity of an investigation and is not recommended.

4. Can a respondent retaliate against a complainant even if the Title IX office or its designee determines that the respondent did not violate the sexual misconduct policy as the complainant alleged?

Yes. Retaliation against a complainant for making a sexual misconduct report is prohibited even if the campus Title IX office or its designee determines that the respondent did not engage in sexual misconduct in violation of University policy.

5. Does the retaliation policy apply to witnesses?

Yes. Witnesses are both protected from being retaliated against for their participation in a sexual misconduct investigation and prohibited from engaging in retaliation against others.

6. What should I do if I believe I am being retaliated against?

We encourage you to contact the campus Title IX office or its designate if you believe you are experiencing retaliation. Employees may also contact their supervisor or Human Resources.



Presentation to the Board of Regents: Sexual Misconduct Policies

Equal Opportunity and Affirmative Action

Tina Marisam, EOAA Director and Title IX Coordinator
Brian Slovut, Deputy General Counsel

June 9, 2017



Overview of Presentation

- Context for policy development
- Legal framework
- Summary of the new policies
- Key goals advanced by the new policies



Context for Policy Development

- **September 18, 2015:** Entered into a resolution agreement with the Office for Civil Rights
- **February 2016:** Submitted a draft administrative policy to the Office for Civil Rights and then engaged in ongoing discussions
- **January 2017 – present:** Developed Board of Regents Policy: *Sexual Misconduct* and consulted on both policies with University stakeholders
- **August – September 2017:** Anticipated consults about the Administrative Policy with the Policy Advisory Committee and President's Policy Committee



Legal Framework

- Title IX
 - OCR Resolution Agreement
 - OCR Dear Colleague Letter and Frequently Asked Questions
- Campus SaVE Act
- The Constitution (e.g. Due Process)
- Minn. Stat. § 135A.15



Summary of New Policies

- Board of Regents Policy: *Sexual Misconduct*
- Administrative Policy: *Sexual Misconduct*
 - Appendices to the Administrative Policy



Summary of the Board of Regents Policy

- Will replace current Board of Regents Policy: *Sexual Harassment*
- Includes definitions for sexual misconduct, sexual harassment, sexual assault, stalking, relationship violence and retaliation
 - Definitions are consistent with the Administrative Policy
 - Defines terms in the Student Conduct Code
 - Provides more detail about what conduct is prohibited



Summary of the Administrative Policy and Appendices

- New Administrative Policy will replace these policies:
 - Administrative Policy: *Sexual Assault, Stalking and Relationship Violence*
 - Administrative Policy: *Sexual Harassment*
 - Administrative Procedure: *Responding to Incidents of Sexual Assault, Stalking and Relationship Violence*
 - Administrative Procedure: *Reporting Incidents of Sexual Harassment*
- New appendices:
 - *Employees' Obligation to Report Sexual Misconduct to the Campus Title IX Office*
 - *Supervisor Obligations*
 - *Investigations and Accommodations*
 - *Roles and Responsibilities of Advisors*
 - *Retaliation*



Summary of the Administrative Policy

- Codifies or consolidates current policies, procedures and resources
 - Procedures from report through appeal
 - Relationship between University and criminal investigation
 - Amnesty provision
 - Resources for complainants and respondents
- Modifies a few substantive policy provisions
 - Broader employee reporting requirement
 - New “aiding and abetting provision” to align with the *Student Conduct Code*



Key Goals Advanced

- Increase ease of access to policy information
- Improve the transparency of University processes
- Provide better education about consent and prohibited conduct
- Provide more information about available resources
- Further ensure consistency and fair processes for all students



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Equal Opportunity and
Affirmative Action
Office for **Equity and Diversity**

UNIVERSITY OF MINNESOTA



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

June 9, 2017

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 – P. Lucas (acting)
- 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. Anderson (acting)