

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**MINUTES**

**BOARD OF REGENTS MEETINGS**

**AND**

**COMMITTEE MEETINGS**

**February 7-8, 2013**

**Office of the Board of Regents  
600 McNamara Alumni Center**

UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS

Minutes of the Board of Regents Meetings  
and Committee Meetings

February 7-8, 2013

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**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Audit Committee**

**February 7, 2013**

A meeting of the Audit Committee of the Board of Regents was held on Thursday, February 7, 2013 at 7:45 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Richard Beeson, presiding; Clyde Allen, Laura Brod, John Frobenius, David Larson, and Maureen Ramirez.

Staff present: President Eric Kaler; Senior Vice President & Provost Karen Hanson; Vice Presidents Kathryn Brown and Aaron Friedman; General Counsel Mark Rotenberg; Executive Director Brian Steeves; and Associate Vice Presidents Gail Klatt and Michael Volna.

Student Representatives present: Kyle Kroll and Cody Mikl.

**EXTERNAL AUDIT UPDATE**

Associate Vice President Volna introduced Kirsten Vosen and Katie Knudtson from Deloitte & Touche LLP (Deloitte) to present the external auditor's opinion on the University's FY 2012 A-133 audit and other audits performed by Deloitte & Touche.

Vosen reported that Deloitte has judged that their comments relative to FY 2012 engagements do not rise to a level of significance that warrants issuing a formal letter to University management. She noted that the University continues to qualify as a low-risk auditee and had no material instances of noncompliance for major programs.

In response to a question from Regent Brod, Vosen explained that the University is currently using audit procedures considered to be the industry standard.

In response to a question from Regent Frobenius, Volna noted that employees have the option to buy discounted employee benefits after they retire from full-time University employment.

**RISK PROFILE OF UNIVERSITY HUMAN RESOURCES INFRASTRUCTURE**

Associate Vice President Klatt introduced Vice President Brown to present information on the risk profile of the University human resources infrastructure as detailed in the docket.

Brown provided an overview of the risks associated with the human resources infrastructure at the University. She explained that the Office of Human Resources is

positioning itself to become a more nimble, transparent, and collaborative organization in order to respond to the needs of the future workforce. She noted that risk management efforts related to the retention of employment and medical records and legal relationships required with organized labor have been successful. Brown indicated that an advanced human resources management system would help to automate the legal requirement to supply personnel records to employees. She emphasized that provisions of the Affordable Care Act could change how information is delivered to employees in the future.

In response to a question from Regent Frobenius, Brown explained that the University is able to provide measureable data related to employee engagement, workspace usage, and employee wellness.

In response to a question from Regent Beeson, Brown noted that the Office of Human Resources is working to ensure that the payroll system is operating efficiently.

### **INTERNAL AUDIT UPDATE**

Associate Vice President Klatt presented the Internal Audit Update, as detailed in the docket materials. Since the last update to the Audit Committee in September 2012, 39 percent of all recommendations rated as essential were implemented. Five units fully implemented all of their remaining essential recommendations.

Klatt stated that she would continue to update the committee on progress related to implementation of recommendations regarding the recent payroll audit.

### **ACCOUNTABILITY UPDATE ON CLINICAL & TRANSLATIONAL SCIENCE INSTITUTE**

Associate Vice President Klatt introduced Vice President Friedman to present accountability update on the clinical and translational science institute as detailed in the docket.

Friedman provided an overview of the Clinical Translational Science Awards (CTSA). The University is one of 60 institutions of higher education to have earned the distinction, which is awarded by the National Institutes of Health (NIH). He explained that NIH applies extensive internal and external oversight of CTSA institutions and that the Associate Vice President of Internal Audit recommends removing CTSA from the annual audit plan.

Friedman additionally explained that an internal advisory board is examining how other institutions have administered CTSA dollars. The University will receive \$10 million a year for the next five years.

### **INFORMATION ITEMS**

Associate Vice President Klatt referred the committee to the information items contained in the docket materials, which included:

- Report of Engagement with Auditing Firms.

The meeting adjourned at 9:01 a.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' and 'S'.

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

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Academic & Student Affairs Committee**

**February 7, 2013**

A meeting of the Academic & Student Affairs Committee of the Board of Regents was held on Thursday, February 7, 2013 at 9:15 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Maureen Ramirez, presiding; Patricia Simmons, Linda Cohen, Dean Johnson, David Larson and David McMillan.

Staff present: President Eric Kaler; Chancellors Stephen Lehmkuhle and Lendley Black; Senior Vice President & Provost Karen Hanson; Vice President Brian Herman; and Executive Director Brian Steeves.

Student Representatives present: Kyle Kroll and Molly Tomfohrde.

**BOARD OF REGENTS POLICY: ACTIVITIES INVOLVING RECOMBINANT DNA OR OTHER POTENTIALLY HAZARDOUS BIOLOGICAL AGENTS**

Vice President Herman presented for action proposed amendments to Board of Regents Policy: *Activities Involving Recombinant DNA or Other Potentially Hazardous Biological Agents*, as detailed in the docket. He explained that the proposed amendments to this policy came to the committee on December 13, 2012 for review and that no changes had been made since then.

A motion was made and seconded, and the committee voted unanimously to recommend adoption of proposed amendments to Board of Regents Policy: *Activities Involving Recombinant DNA or Other Potentially Hazardous Biological Agents*. The policy as approved is now called *Activities Involving Recombinant and Synthetic Nucleic Acid Molecules or Other Potentially Hazardous Biological Agents*.

**BOARD OF REGENTS POLICY: ANIMAL CARE AND USE**

Vice President Herman presented for action proposed amendments to Board of Regents Policy: *Animal Care and Use*, as detailed in the docket. He explained that the proposed amendments to this policy came to the committee on December 13, 2012 for review and that no changes had been made since then.

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

## **E-LEARNING VISION & DIRECTION**

Senior Vice President & Provost Hanson and University Librarian Wendy Pradt Lougee presented information on the University's eLearning vision and direction, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Hanson noted that the University defines eLearning as the enhancement of educational offerings through a spectrum of delivery options, serving both resident and distance students throughout the lifecycle of undergraduate, graduate, professional and continuing education. She walked through four types of delivery options: enhanced classrooms, blended classrooms, completely online courses, and massively open online courses (MOOCs). She noted that MOOCs in particular have captured the imaginations of people outside of higher education because they are free ("open") and available to hundreds of thousands of learners, a scale not previously possible ("massive").

Hanson reviewed the University's vision and direction for eLearning. She also highlighted recent activity regarding eLearning, including appointment of a faculty liaison for eLearning; release of an RFP to enhance undergraduate education via digital technological enhancement (34 proposals were submitted for possible funding); creation of the Office of eLearning; launch of an experimental MOOC project; and a new Faculty Committee on Academic Technology.

She noted that the MOOC experiment is a small pilot to assess MOOCs' impact, including resource implications and outcomes. She cautioned that the University is moving cautiously in this area given that the MOOC landscape changes every day, there are many unknowns, and media and public attention is high.

Lougee reviewed copyright issues in the context of eLearning. She reminded committee members what copyright is, and highlighted the University's 2007 copyright policy. She described digital content options for eLearning and copyrighted works, including public domain, fair use, licensed use, permissions, and open educational resources. Lougee noted that the University is engaged in an ongoing conversation about clarifying related policy in eLearning contexts.

Hanson raised four ongoing policy questions related to eLearning for the committee's consideration:

1. What is the right eLearning balance? How can the University proceed wisely?
2. What is the impact on costs and price?
3. What is the impact on facilities? What should or will classrooms look like?
4. What are the related reputational issues?

In response to a question from Regent Simmons, Hanson explained that the University does not know the extent to which its students are taking MOOCs. She noted that the issue of whether and how MOOCs connect to degree-granting is still very fluid, as MOOCs rarely yield credits.

In response to a question from Regent McMillan, Hanson offered that online courses were on average less expensive to deliver than traditional methods, but more



expensive to create. She added that the University would continue to value residential learning.

In response to questions from Regent Johnson, Kaler agreed that the University could not and would not lose sight of its research and outreach missions as eLearning morphed and expanded. Hanson pointed out that online and distance learning are not new, and that the desire to earn a degree from a high-quality institution remains.

### **ASSESSMENT OF UNDERGRADUATE STUDENT LEARNING**

Vice Provost McMaster and Joseph Shultz, Deputy Chief of Staff to the Provost, presented information on assessment of undergraduate student learning, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Shultz positioned the assessment discussion as one of four main inputs into the University's overall academic assessment work, with the other three being approval process for new, changed, and/or discontinued programs; regional and specialized accreditation; and academic program review. He walked through the concept of assessment as an accountability activity, noting that there exists a national conversation around holding institutions accountable for student learning; and as an improvement activity, intended to help answer the perennial question of how the University can do teaching and learning better.

Shultz presented nine assessment best practices of the American Association for Higher Education. He highlighted the following four:

1. Assessment of student learning begins with educational values.
2. Assessment works best when it is ongoing, not episodic.
3. Assessment fosters wider improvement when representatives across the educational community are involved.
4. Assessment is most likely to lead to improvement when it is part of a larger set of conditions that promote change.

Shultz described as well the Higher Learning Commission's evaluation framework, which says that assessment of student learning efforts should be meaningful (will it tell us something?), useful (are we actually going to use it?), workable (are we designing something we can actually do that is tied to a plan?), and reasonable (what is our scale and timeline?).

McMaster walked through an extensive variety of current assessment activities, including:

- The CIC-National Institute for Learning Outcome Assessment (NILOA) Initiative. Since 2011, all 13 CIC campuses have collaborated on an assessment project that builds off of five student learning quality questions, and has led to five assessment best practices.
- University student learning outcomes that outline what students are expected to be able to do by graduation, such as communicate effectively; locate and critically evaluate information; and identify, define and solve problems.

- Student development outcomes that outline what students are expected to have by graduation (such as resilience, goal orientation, and tolerance for ambiguity).
- The Writing-Enriched Curriculum Project (WEC).
- Student surveys, including of recent graduates, incoming students, and the Student Experience in the Research University (SERU).
- College-level assessment of student learning activities.

In response to a question from Regent Cohen, McMaster shared that improvements in learning outcomes are clearly measurable when a traditional lecture-based classroom is compared to a technology-aided, high-interaction classroom.

In response to a question from Student Representative Tomfohrde, McMaster noted that learning outcomes are required only for general education classes. He added that changes to professor evaluations were unlikely, but that individual professors were able to add questions to their specific evaluation forms.

### **CONSENT REPORT**

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

- **New Academic Programs:**

- College of Education and Human Development (Twin Cities campus)—Create the B.S. degree in Integrated Degree Program
- School of Public Health (Twin Cities campus)—Create post-baccalaureate certificate in Advanced Management Training for Clinician Leaders
- College of Design (Twin Cities campus)—Create undergraduate minor in Product Design

- **Changes to Academic Programs:**

- College of Education and Human Development (Twin Cities campus)—Create sub-plans in 1) Academic and Behavioral Strategist and 2) Autism Spectrum Disorders within the M.Ed. degree in Special Education
- College of Liberal Arts (Twin Cities campus)—Create a sub-plan in Arabic Language within Asian Languages and Literatures
- College of Food, Agricultural and Natural Resource Sciences (Twin Cities campus)—Change the name of the B.S. degree in Forest Resources to Forest and Natural Resource Management
- College of Food, Agricultural and Natural Resource Sciences (Twin Cities campus)—Change the name of the minor in Forest Resources to Forest Ecosystem Management and Conservation

- College of Food, Agricultural and Natural Resource Sciences (Twin Cities campus)—Change the name of the minor in Recreation Resource Management to Park and Protected Area Management
- College of Science and Engineering (Twin Cities campus)—Change the name of the M.S. degree in Infrastructure Systems Engineering to Infrastructure Systems Management and Engineering
- Crookston campus—Deliver the minor in Marketing online
- Morris campus—Create state licensure sub-plan in Elementary Education within the B.A. degree in Elementary Education
- Morris campus—Change the name of the General Management sub-plan to Financial and Organizational Management within the B.A. degree in Management
- **Discontinued Academic Programs:**
  - College of Liberal Arts (Twin Cities campus)—Discontinue the B.A. degree in Architecture

The meeting adjourned at 11:10 a.m.



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

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Finance Committee**

**February 7, 2013**

A meeting of the Finance Committee of the Board of Regents was held on Thursday, February 7, 2013 at 9:15 a.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: John Frobenius, presiding; Clyde Allen, Richard Beeson, Laura Brod, Thomas Devine, and Venora Hung.

Staff present: President Eric Kaler; Vice Presidents Kathryn Brown and Richard Pfutzenreuter; Executive Director Brian Steeves; and Associate Vice Presidents Stuart Mason, Julie Tonneson and Michael Volna.

Student Representatives present: Meghan Mason and Cody Miki.

**ANNUAL CAPITAL FINANCE & DEBT MANAGEMENT REPORT**

Vice President Pfutzenreuter invited Carole Fleck, Director, Debt Management, to provide an update of the University's debt profile, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Fleck explained that as of June 30, 2012, the University's long-term outstanding debt was \$1,226,388,000 with an effective interest rate of 3.65 percent. Long-term debt primarily consists of general obligation bonds, special purpose revenue bonds, commercial paper notes, auxiliary revenue bonds, infrastructure development bond obligations, and capital leases.

Fleck presented results of the competitive sale of Series 2013A and Series 2013B bonds. This was the first occurrence of the University selling bonds through a competitive sale versus a negotiated sale.

Fleck provided an overview of significant FY 2012 debt transactions.

In response to questions from Regents Brod and Frobenius, Fleck stated that the bids for the competitive sales of the Series 2013A and Series 2013B bonds were conducted through online channels and phone calls. She added that all bids submitted within the appropriate parameters were considered.

## **ANNUAL INSURANCE & RISK MANAGEMENT REPORT**

Associate Vice President Volna and Steven Pardoe, Director of Risk Management and Insurance, discussed the University's annual insurance and risk management report, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Volna explained that the University's total cost of risk in FY 2012 was \$13.8 million, an increase of 1.3 percent from FY 2011. Total cost of risk is the sum of captive costs, self-insurance costs, and the cost of commercially purchased insurance. Pardoe provided a summary of FY 2012 milestones and accomplishments in the Office of Risk Management and reported the FY 2013 goals, which are to:

- Finalize coverage for medical clinical trials liability occurring outside of Minnesota;
- Complete updates to administrative policies and procedures covering alcoholic beverages on campus; and
- Work with the Office of Human Resources to address recommendations on the worker's compensation program.

In response to a question from Regent Brod, Volna and Pardoe indicated that cyber security is a small and developing market that currently has no affordable product that serves the needs of the University.

In response to a question from Regent Beeson, Volna commented that the Midwest Higher Education Compact Master Property Program, the University's property insurance provider through AIG, is a very favorable program with flexible coverage.

## **ANNUAL INVESTMENT PERFORMANCE: PEER COMPARISONS**

Associate Vice President Mason and Chris Suedbeck, Director of Investments, provided an overview of the University's annual investment performance and peer benchmarking report, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Mason reviewed the report and covered the following key points:

- The Consolidated Endowment Fund (CEF) investment performance of 4.9 percent ranked in the upper decile of peer institutions and highest among Big Ten schools;
- Drivers of performance included energy and venture capital, which produced greater than 20 percent returns, and private real estate, which produced 6.6 percent returns and was positive for the first time in several years;
- Other factors contributing to outperformance included an underweight in international and emerging markets equity, and an underweight in hedge fund allocation; and
- Increased liquidity and a new asset allocation framework position the CEF to continue to perform well in the coming years.

In response to questions from committee members, Mason indicated that the Office of Investments and Banking maintains communication and sharing of information on investment best practices with colleagues at peer institutions.

#### **FINANCIAL DASHBOARD: METRICS FOR BOARD OVERSIGHT**

Vice President Pfutzenreuter presented information on the financial dashboard, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Pfutzenreuter explained that the financial dashboard provides a visual overview of the financial health and direction of the University, and includes the current status and historical trends of financial performance. He noted that its purpose is to clearly and concisely report the status of the University's annual operating budget by providing meaningful metrics that enhance the Board's oversight role. The intent is to provide a financial dashboard report to the Board four times per fiscal year.

A lengthy discussion ensued. Major discussion points included:

- The inclusion of productivity measures with indicators of whether the University is performing within desired parameters;
- Ensuring that the dashboard communicates the operational excellence and financial productivity of the University;
- An analysis of reports received by the Finance Committee and other committees that may capture this information; and
- The necessity of the committee receiving financial dashboard updates four times per academic year.

Pfutzenreuter expressed that the goal of the financial dashboard is to be a productive tool for Board oversight. He stated that the Office of Budget and Finance would continue to analyze and update metrics based on the committee's feedback.

#### **INFORMATION ITEMS**

Vice President Pfutzenreuter referred the committee to the Information Item contained in the docket materials:

- Annual Report on Central Reserves.

The meeting adjourned at 11:14 a.m.



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

**UNIVERSITY OF MINNESOTA**  
**BOARD OF REGENTS**  
**Facilities & Operations Committee**

**February 7, 2013**

A meeting of the Facilities & Operations Committee of the Board of Regents was held on Thursday, February 7, 2013 at 2:15 p.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding; Clyde Allen, Laura Brod, John Frobenius, Venora Hung, and David Larson.

Staff present: Vice Presidents Richard Pfutzenreuter and Pamela Wheelock; Executive Director Brian Steeves; and Associate Vice Presidents Michael Berthelsen, Stuart Mason, and Michael Volna.

Student Representatives present: Jesse Jennings and Molly Tomfohrde.

**BOARD OF REGENTS POLICY: ALCOHOLIC BEVERAGES ON CAMPUS**

Regent Johnson presented for action proposed amendments to Board of Regents Policy: *Alcoholic Beverages On Campus*, as detailed in the docket. He explained that the proposed amendments to this policy came to the committee on December 13, 2012 for review and that no changes have been made since then.

A motion was made and seconded and the committee voted unanimously to recommend adoption of amendments to Board of Regents Policy: *Alcoholic Beverages On Campus*.

**CAPITAL BUDGET AMENDMENT**

**A. Reuse Center – Engine Research Laboratory Remodeling, Twin Cities Campus**

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

On the recommendation of the President and the Vice President for University Services, the FY 2013 Capital Budget is amended to include the following project: Reuse Center – Engine Research Laboratory Remodeling, Twin Cities Campus.

- Scope of Project: This project relocates the Engine Testing Laboratory to the south end of the Reuse Center, which is currently open warehouse shell space. The remodel for the lab will encompass 6,500 gross square feet. The

new location will provide two engine test cells, control room, engine build room, flow bench room, private office, four workstations, break room and a unisex toilet room. A 1,900 square foot mechanical equipment platform will be located above the engine test cells to support the mechanical supply and exhaust requirements. The south exterior of Reuse Center will be further improved to include fuel storage tanks, cooling tower, electrical transformer, exterior vehicle test cell and minimal parking.

- Master Plan: No impact to the Campus Master Plan.
- Cost Estimate: \$5,000,000
- Capital Funding: 2010 State Appropriation – Lab Pool Fund and College of Science and Engineering Dean’s Office Administration.

In response to a question from Regent Brod, Steven Crouch, Dean, College of Science and Engineering, explained that graduate students would relocate to the new building once it’s renovated.

The committee voted unanimously to recommend approval of the Reuse Center – Engine Research Laboratory Remodeling, Twin Cities Campus.

#### **B. Combined Heat & Power Plant, Twin Cities Campus**

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

On the recommendation of the President and the Vice President for University Services, the FY 2013 Capital Budget is amended to include the following project: Combined Heat and Power Plant, Twin Cities Campus.

- Scope of Project: The project is the renovation of the Old Main Heating Plant located at 1180 Main Street SE, Minneapolis, MN. The project consists of installing combined heat and power generation equipment in the building and providing space planned for a future package boiler and future chilled water plant equipment.
- Master Plan: No impact to the Campus Master Plan.
- Cost Estimate: \$95,881,000
- Capital Funding: 2012 State Appropriation, University Debt, and Facilities Management Repair and Replacement Funding.

Vice President Wheelock introduced Associate Vice President Berthelsen and Suzanne Smith, Director of Capital Planning and Project Management. Smith described the project and explained that the primary component of the project was the installation of the new turbine system. She noted that securing an air emission permit could take up to 18 months due to the extensive application process.

Berthelsen reviewed the building plans. He observed that the utility master plan had identified the need to address increasing campus-wide energy consumption, as the current steam system would reach capacity in the near future. He explained that the installation of a new natural gas fired turbine and heat recovery steam boiler represents the best long-term sustainable energy solution for the University. He noted that the increased energy output would allow the University to sell excess energy on the open market.



In response to a question from Regent Larson, Berthelsen explained that it is difficult to predict the University's future energy consumption.

In response to a question from Regent Johnson, Berthelsen reported that no cost effective steam providers exist on the private market.

In response to a question from Regent Brod, Smith indicated that the cost to improve the access road to the facility was included in the total project cost.

The committee voted unanimously to recommend approval of the Combined Heat and Power Plant, Twin Cities Campus.

## **SCHEMATIC PLANS**

### **A. Reuse Center – Engine Research Lab Remodeling, Twin Cities Campus**

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

The schematic plans for the Reuse Center – Engine Lab Remodeling, Twin Cities Campus, are approved and the appropriate administrative officers authorized to proceed with the award of contracts, the development of construction documents, and construction.

The committee voted unanimously to recommend approval of the schematic plans for the Reuse Center – Engine Lab Remodeling, Twin Cities Campus.

### **B. Combined Heat & Power Plant, Twin Cities Campus**

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

The schematic plans for the Combined Heat and Power Plant, Twin Cities Campus, are approved and the appropriate administrative officers authorized to proceed with the award of contracts, the development of construction documents, and construction.

The committee voted unanimously to recommend approval of the schematic plans for the Combined Heat and Power Plant, Twin Cities Campus.

## **REAL ESTATE TRANSACTION**

### **A. Purchase of 78.13 Acres, Carver County, Landscape Arboretum**

The committee reviewed the purchase of 78.13 acres, Carver County, Landscape Arboretum. Susan Carlson Weinberg, Director of Real Estate, noted that the property, known as Kerber Farm, is located directly adjacent to the University's Horticultural Research Center. She explained that the property contained native forest, wetlands, tillable lands, and 1,300 feet of lakeshore property on Lake Tamarack. The expansion of the arboretum would allow for additional environmental preservation and organic fruit orchards.

In response to a question from Regent Frobenius, Weinberg explained that the sale of surplus land at the Landscape Arboretum would be used to fund the project.

This item will return for action at a future meeting of the committee.

**B. Eight-Year Lease of 16,774 Square Feet at 1200 Washington Avenue South, Minneapolis for Academic Health Center / Medical School Advanced Research & Diagnostic Laboratory, Twin Cities Campus**

The committee reviewed the eight-year lease of 16,774 square feet at 1200 Washington Avenue South, Minneapolis for Academic Health Center / Medical School Advanced Research and Diagnostic Laboratory, Twin Cities campus. Weinberg noted that the University sold the property to the current landlord in 2006. She explained that the Advanced Research and Diagnostic Laboratory (ARDL) is currently located in multiple areas of the Twin Cities campus. The lease of space at 1200 Washington Avenue, Minneapolis would allow consolidation of ARDL's freezer specimens and other activities. She indicated that the new space will allow ARDL to terminate the lease for forty freezers on Fairview's Riverside Campus.

In response to a question from Regent Brod, Weinberg explained that a search to determine available space on campus yielded no suitable alternatives.

This item will return for action at a future meeting of the committee.

**UTILITIES AND ENERGY MANAGEMENT ANNUAL REPORT**

Vice President Wheelock invited Associate Vice President Berthelsen and Jerome Malmquist, Director, Energy Management, to present the Utilities and Energy Management Annual Report, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Berthelsen and Malmquist reviewed FY 2012 utility costs, reliability, and the University's progress toward sustainability. Malmquist explained that the University continues to receive cost savings from campus-wide efforts to reduce electricity consumption during peak hours, and from the replacement of outdated kitchen appliances. He noted that solar panels installed using American Recovery and Reinvestment Act funds have yielded additional energy savings. Berthelsen explained that energy consumption per square foot has decreased significantly since 2009, and that efforts to replace exterior lighting with LEDs, the replacement of high-pressure sodium bulbs, and the construction of "smart" labs will further decrease energy usage.

In response to a question from Regent Frobenius, Berthelsen explained that Facilities Management establishes energy savings goals each year.

**INFORMATION ITEMS**

Vice President Wheelock referred committee members to the following Information Items:

- Lease to Alexander Prep School (Previously STARS Prep School) for Use of Classrooms (Landscape Arboretum).

- Emergency Approval for Agreements for Voluntary Payments in Lieu of Special Assessments (UMore Park).

The meeting adjourned at 4:14 p.m.



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

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Faculty & Staff Affairs Committee**

**February 7, 2013**

A meeting of the Faculty & Staff Affairs Committee of the Board of Regents was held on Thursday, February 7, 2013 at 2:15 p.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Patricia Simmons, presiding; Richard Beeson, Linda Cohen, Thomas Devine, David McMillan, and Maureen Ramirez.

Staff present: Chancellors Jacqueline Johnson and Fred Wood; Senior Vice President and Provost Karen Hanson; Vice Presidents Kathryn Brown and Brian Herman; and Executive Director Brian Steeves.

Student Representatives present: Melissa Erlandson and Julia Schliesing.

**BOARD OF REGENTS POLICY: AWARDS, HONORS, AND RECOGNITION**

Vice President Brown presented for action proposed amendments to Board of Regents Policy: *Awards, Honors, and Recognition*, as detailed in the docket.

Brown explained that the proposed amendments to this policy came to the committee on December 13, 2012 for review and since then language has been added to more clearly articulate the significance of McKnight Presidential Chairs.

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

**ANALYSIS OF ORGANIZATIONAL STRUCTURE**

Regent Simmons welcomed Vice President Brown and Mary Luther, Director, Classification and Compensation, to discuss the analysis of the University's organizational structure, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Brown and Luther presented information on:

- How this analysis supports operational excellence;
- How this analysis supports OHR strategic imperatives;
- The University's organizational structure;
- The spans and layers analysis; and

- The job classification system redesign.

Luther explained the spans and layers analysis, noting that span refers to the number of individuals a manager has reporting to them and layers refers to the number of reporting levels between an individual employee and the President. She added that the job classification redesign will work in conjunction with the spans and layers analysis to implement a classification and compensation system with transparent career paths and the ability to attract, engage, and retain high performing employees.

In response to questions from Regents Simmons, Brown stated that the new job classification system would empower employees by allowing them to map their career paths. Brown acknowledged that this can be a difficult process and noted that feedback from employees and supervisors will be a factor in re-classification decision-making.

In response to questions from Regent Beeson, Brown agreed that ensuring accountability for corrective action is key in this process. Luther added that these types of decisions might take place at the central level due to variances in collegiate structures.

### **ALL-UNIVERSITY RECRUITING & HIRING**

Regent Simmons welcomed Vice President Brown, Laura Negrini, Director, Recruitment and Hiring, and Katie Stuckert, Director, Senior Leader & Faculty Recruitment and Hiring, to present an update on University recruiting and hiring practices, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Brown described the University's recruiting and hiring function as a strategic talent acquisition system that provides a diverse workforce and organizational capabilities to drive excellence at the University. She provided an overview of the following key points:

- How the function supports the OHR strategic plan;
- University recruiting and hiring objectives;
- The implementation plan; and
- Anticipated outcomes.

Negrini explained the action steps for job seekers at the University of Minnesota. Stuckert reviewed the senior leader search process.

In response to questions from committee members, Brown confirmed that the University ensures privacy during the hiring process and noted that an effective recruiting and hiring function will place employees in positions that utilize their skill sets at an appropriate compensation level.

### **CONSENT REPORT**

Vice President Brown presented for action the Consent Report, which included the following items:

- Conferral of tenure for faculty members who have been hired at the University of Minnesota.

Brown invited Senior Vice President and Provost Hanson to report the conferral of tenure to Brian Herman, professor at the University of Minnesota Twin Cities Department of Biomedical Engineering and Vice President for Research at the University of Minnesota Twin Cities.

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

#### **INFORMATION ITEMS**

Vice President Brown referred the committee to the information items contained in the docket materials, which included:

- Personnel highlights;
- University highlights; and
- Faculty and staff activities and awards.

The meeting adjourned at 3:25 p.m.



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

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**February 8, 2013**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, February 8, 2013 at 9:03 a.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Linda Cohen, presiding; Clyde Allen, Richard Beeson, Laura Brod, Thomas Devine, John Frobenius, Venora Hung, Dean Johnson, David Larson, David McMillan, Maureen Ramirez, and Patricia Simmons.

Staff present: President Eric Kaler; Chancellors Lendley Black, Jacqueline Johnson, Stephen Lehmkuhle, and Fred Wood; Senior Vice President and Provost Karen Hanson; Vice Presidents Kathryn Brown, Brian Herman, and Richard Pfitzenreuter; Executive Director Brian Steeves; and Associate Vice Presidents Andrew Furco and Gail Klatt.

**INTRODUCTION OF THE VICE PRESIDENT FOR RESEARCH**

President Kaler introduced Brian Herman as Vice President for Research to the University community. Herman began his appointment on January 1, 2013. Herman briefly addressed the Board.

**APPROVAL OF MINUTES**

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

- Audit Committee - December 13, 2012
- Facilities Committee - December 13, 2012
- Faculty, Staff & Student Affairs Committee - December 13, 2012
- Educational Planning & Policy Committee - December 13, 2012
- Finance & Operations Committee - December 13, 2012
- Board of Regents - December 13, 2012

**REPORT OF THE PRESIDENT**

President Kaler reported on recent activities that have provided opportunities to advocate for the University and promote the institution's biennial budget request. He touched on overall historical reductions in state support for higher education, and stressed the institution's value to the people of Minnesota and the need for a stronger partnership with the state.

Kaler discussed a recent request to the administration to provide details on the institution's administrative structure to the governor and legislature by March 15, 2013. Kaler announced the administration's intention to obtain outside expertise to assess and benchmark the University's layers of management and administrative functions in the areas of finance, information technology, human resources, and purchasing. Kaler noted this work will give the administration additional ways to ensure the structure, and operations are effective, efficient, and among the best in the nation in higher education.

Kaler announced the launch of a pilot program in the College of Design for two undergraduate degree programs to be offered in a three-semester option, while still maintaining a more traditional four-year program. Kaler discussed how summer offerings in the liberal education curriculum will enhance degree completion and reported on efforts to standardize the undergraduate summer curriculum.

Kaler highlighted a number of faculty and student achievements and awards. He congratulated the Twin Cities Campus dance team, present in the audience, for winning multiple national titles, and recognized Goldy Gopher as the winner of the 2013 Mascot National Championship.

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

#### **REPORT OF THE CHAIR**

Chair Cohen commented on recent media attention related to the University's administrative costs. She stressed that President Kaler, with strong support from the Board of Regents, has set a tone and pace for change that is beginning to transform the University, with a focus on efficiency, affordability, and renewing the institution's partnership with the state of Minnesota.

Cohen reported that she, Regent Larson, and President Kaler have been meeting with Minnesota State Colleges and Universities (MnSCU) counterparts to explore additional avenues of collaboration between the two systems. She noted these meetings have demonstrated the mutual commitment to ensuring that MnSCU and the University are working together to serve the higher education needs of Minnesotans.

Cohen highlighted a number of activities Regents participated in during the previous two months, most notably various House and Senate hearings and events in support of the University's Biennial Request. She reported that Regents attended a "Support the U Day" rally at the State Capitol the previous day. Cohen also noted Regent Simmons' participation in a panel discussion on shared governance as part of the University Senate Centennial celebration, and her own participation in an honorary degree ceremony for Professor Thomas Sargent.

The next meeting of the Board of Regents is scheduled for March 7-8, 2013 on the Twin Cities Campus.

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

#### **RECEIVE AND FILE REPORTS**

Chair Cohen noted there were no items for receipt and filing this month.



## **CONSENT REPORT**

Chair Cohen presented the Consent Report as described in the docket materials, including:

- Report of the All-University Honors Committee recommendation forwarded in a letter from President Kaler dated January 29, 2013;
- Summary of Gifts through December 31, 2012; and
- Summary of Expenditures.

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

## **REPORT OF THE FACULTY CONSULTATIVE COMMITTEE**

Professor Sally Gregory Kohlstedt, Chair, Faculty Consultative Committee (FCC), reported on the activities of the committee since its last report to the Board of Regents. Current issues include grading standards and distribution and related matters of reporting; implications of the Affordable Care Act; the newly proposed entrepreneurial leave policy and its possibilities for faculty research; and policy review. Kohlstedt also provided an update on activities related to the 100<sup>th</sup> anniversary of the University Senate. Kohlstedt directed the Board's attention to materials on liberal education and student learning outcomes (distributed at the meeting and on file in the Board Office).

A copy of the Report of the Faculty Consultative Committee is on file in the Board Office.

## **RESOLUTION RELATED TO THE MERGER OF THE UNIVERSITY OF MINNESOTA FOUNDATION AND THE MINNESOTA MEDICAL FOUNDATION**

Chair Cohen introduced the item and emphasized the importance of the merger of the University of Minnesota Foundation and Minnesota Medical Foundation in positioning the University for continued success. President Kaler noted that the resolution would result in the University having one focused foundation that would work with the philanthropic community as a single entity with a single voice.

A motion was made and seconded to approve the resolution.

Regent Simmons stated her support for the resolution. She indicated her belief that this action is not only historic but testimony to the extraordinary support for the University in the community. Regent Brod also expressed support for the resolution, noting the significance of the merger as a transformative measure that efficiently leverages funds for the greatest impact.

The Board of Regents voted unanimously to approve the Resolution Ratifying the University of Minnesota's Consent to the Merger of the University of Minnesota Foundation and the Minnesota Medical Foundation, as follows:

WHEREAS, on December 14, 2012 the Board of Regents adopted a resolution endorsing and approving the pursuit of a proposed merger of

the University of Minnesota Foundation (“UMF”) and the Minnesota Medical Foundation (“MMF”); and

WHEREAS, the Board directed the President and his designees to work closely with UMF and MMF regarding the terms of the proposed merger to ensure that it promotes the University’s interests and protects the University’s property consistent with Board policies and the Memoranda of Understanding (MOUs) between the University and the Foundations; and

WHEREAS, the President and the University’s attorneys have reviewed the merger documents between UMF and MMF and determined that the terms of the merger promote the University’s interests and protect the University’s property consistent with Board policies and the MOUs; and

WHEREAS, by letter dated January 22, 2013 the President informed the two Foundations that he consented to the written terms of the proposed merger and would ask the Board of Regents to reaffirm its endorsement, and ratify his consent to the specific written terms, of the merger; and

NOW, THEREFORE, BE IT RESOLVED THAT the Board determines that the terms of the merger promote the University’s interests and protect the University’s property consistent with Board policies and the MOUs between the University and the Foundations, and does hereby ratify the President’s consent to the specific written terms of the merger between UMF and MMF.

#### **UNIVERSITY OF MINNESOTA PUBLIC ENGAGEMENT ACTIVITIES**

Chair Cohen introduced Senior Vice President and Provost Hanson and Associate Vice President Furco to lead the discussion of public engagement activities at the University of Minnesota as presented in the docket and associated materials distributed at the meeting and on file in the Board Office.

Hanson reported that outreach and engagement opportunities have been part of the University for over 150 years. Public engagement connects the University’s faculty, staff, students, centers, and academic departments to external entities to build collaborations addressing critical societal issues. She noted that public engagement activities evolve to reflect the changing needs of communities and disciplines, and the evolving societies in which the University community works. The University’s public engagement agenda includes key strategic initiatives to: integrate community collaboration into academic activities, enhancing the University’s capacity to produce research of significance; deliver high-quality teaching; and support outreach that maximizes benefits to local, state, national, and international communities.

Furco stated that the presentation would report on a variety of initiatives underway to further the institutionalization of public engagement across the University system, including:

- Accomplishments in deepening public engagement practice across the University;

- The role of public engagement in student learning and development;
- The role of public engagement in advancing faculty research and scholarship;
- Recent progress made in strengthening community-University partnerships; and
- Examples of ways in which public engagement is operationalized in Extension and various academic units.

Furco highlighted a number of examples on the Twin Cities and system campuses that illustrate ways in which faculty and students are involved in public engagement activities benefiting the campus and the community. He described initiatives of the Office of Public Engagement, which was established in 2006 to further the integration of community engagement into the University's research and teaching functions. Furco summarized three strategic initiatives to ensure internal alignment and academic integration of public engagement activities, and metrics to assess success. He introduced the first of several speakers and invited each to discuss various activities within their own area.

Linda Bearinger, Professor, Schools of Nursing, Medicine and Public Health, described how her research and outreach activities engage communities locally, nationally, and internationally. She summarized highlights from the "Lead Peace" program, a middle school service-learning program designed to encourage students to learn and grow through meaningful service in their community.

Nicholas Jordan, Professor, Department of Agronomy and Plant Genetics, College of Food, Agricultural and Natural Resource Sciences, discussed LandLabs, which are centers of activity that bring people together to envision and engineer new enterprises in agriculture. Jordan explained that the work in LandLabs has been focused around commercializing perennial biomass crops that could have multiple uses and market potential. Jordan discussed the center's efforts to work with farmers to grow profitable biomass crops that conserve soil, water, biodiversity, and withstand floods and droughts.

Besma Jaber, Salman Dar, and Mohammad Ranginwala, second-year students in the Medical School, highlighted their service with community-based health partnerships in the Twin Cities Muslim community. Through these partnerships, students volunteer at clinics serving the Muslim community. The students shared how these opportunities allow them to learn skills outside the classroom and engage in their community in ways not possible in their clinical rotations.

Brittany Eich, a junior in the College of Biological Sciences, detailed her lifelong participation in 4-H. The statewide program, which is part of the Minnesota Extension Service, helps youth develop their interests in science, theatre, agriculture, fashion, and childhood education. She recounted how engagement in 4-H fostered her passion in animal science and encouraged her to become a leader while providing outreach opportunities.

Gina Bussman, a senior in the College of Liberal Arts, walked through her participation in the Community Engagement Scholars Program at the University, which formally recognizes students for integrating community engagement into their educational experience. She highlighted her volunteer work in Colombia and how those experiences have enriched her academic and personal lives.

Heidi Barajas, Associate Professor, College of Education and Human Development and Executive Director, Urban Research and Outreach-Engagement Center (UROC), recounted how her scholarship and teaching focuses on educational access for underrepresented racial and ethnic populations. She presented information about UROC's partnership with the Northside Achievement Zone and reviewed her service with Hmong families in north Minneapolis.

In response to comments from Regents Frobenius and Simmons, President Kaler explained that there is complexity in measuring the value of public engagement activities relative to resource use. He noted that faculty outreach attracts research grants, and community engagement and teaching supports the University's outreach and teaching missions.

### **REPORT OF THE FACILITIES & OPERATIONS COMMITTEE**

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

- a) Adoption of amendments to Board of Regents Policy: *Alcoholic Beverages on Campus*, as follows:

#### **Alcoholic Beverages on Campus**

##### SECTION I. SCOPE.

This policy governs the use, possession, distribution, consumption, promotion, marketing, and sale of alcoholic beverages at the University of Minnesota (University).

##### SECTION II. DEFINITIONS.

Subd. 1. Alcoholic Beverages. Alcoholic beverages shall have the meaning provided by state law.

Subd. 2. Employee. Employee shall mean an individual employed by the University, including a student employee, when acting within the course and scope of employment.

Subd. 3. Student. Student shall mean an individual taking at least one University course or class, credit or noncredit, or participating in any academic program administered by the University.

Subd. 4. University Housing. University housing shall mean all places of residence owned or leased by the University in which students reside.

Subd. 5. University Property. University property shall mean all real property, buildings, and facilities under the primary control of the University through ownership, lease, or other means.

Subd. 6. Visitor. Visitor shall mean any person who is on University property, except an employee or student.

### SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the application of standards and expectations for the use, possession, distribution, consumption, promotion, marketing, and sale of alcoholic beverages at the University.

Subd. 1. Compliance. The University shall comply with all applicable local, state, and federal laws related to the use, possession, distribution, consumption, and sale of alcoholic beverages on campus. The University expects compliance from employees, students, and campus visitors.

Subd. 2. Education and Counseling. The University is committed to offering and promoting counseling, education, and prevention programs and activities related to: (a) personal responsibility and moderation in alcohol consumption; (b) the association between excessive alcohol consumption and high risk behaviors; (c) the benefits of abstinence; and (d) the prevention, diagnosis, and treatment of alcohol misuse and abuse.

Subd. 3. Health and Safety. The University is committed to promoting a healthy and safe living and learning environment for its employees, students, and visitors.

### SECTION IV. REGULATION OF ALCOHOLIC BEVERAGES ON CAMPUS.

Subd. 1. Unauthorized Use. The unlawful or unauthorized use, possession, distribution, consumption, promotion, marketing, or sale of alcoholic beverages is prohibited on University property or as part of any University activity.

Subd. 2. Authorized Use. The responsible and lawful use, possession, distribution, or consumption alcoholic beverages for social and celebratory purposes on University property is permitted only when authorized by the president or delegate in accordance with this policy and administrative policy and procedures.

Subd. 3. University Housing. Administrative policies approved by the president or delegate shall govern the use, possession, and consumption of alcoholic beverages in University housing. The policies shall clearly specify appropriate areas, times, and circumstances and fully recognize and protect the rights and needs of all residents.

Subd. 4. Sale. The sale of alcoholic beverages on University property is prohibited, except when authorized by license or state law and approved by the Board of Regents.

Subd. 5. Promotions and Marketing. The University shall not accept alcohol promotion, marketing, advertising or sponsorship at its venues and in its publications. Exceptions may be made in accordance with this policy and administrative policy for non-

University activities, as determined by the president. University trademarks, trade names, service marks, logos, slogans, mascots, and other official identifiers or symbols shall not be used in conjunction with alcohol advertising, promotion, marketing, distribution, or sale.

SECTION V. ENFORCEMENT.

Violation of this policy may result in the following University sanctions, in addition to any other sanctions imposed by law:

Subd. 1. Employees. Violation of this policy by an employee constitutes misconduct subject to University discipline that may include termination.

Subd. 2. Students. Violation of this policy by a student is a violation of, and shall be adjudicated in accordance with, Board of Regents Policy: Student Conduct Code.

Subd. 3. Visitors. Violation of this policy by a visitor shall result in a request to leave the University property, function, or event, and may result in a directive prohibiting access to University property.

SECTION VI. IMPLEMENTATION.

The president or delegate shall administer this policy and maintain the appropriate policies, procedures, and guidelines to implement this policy.

SUPERSEDES: POLICY DATED APRIL 8, 1969.

- b) Approval of amendments to the FY 2013 Capital Budget by:
  - 1) \$5,000,000 for the Reuse Center – Engine Research Lab Remodeling, 883 – 29<sup>th</sup> Avenue Southeast, Twin Cities campus.
  - 2) \$77,881,000 for the Combined Heat and Power Plan Project, Twin Cities campus.
  
- c) Approval of Schematic Plans for the following projects as presented to the committee and described in the February 7, 2013 committee minutes:
  - 1) Reuse Center - Engine Research Lab Remodeling, Twin Cities campus.
  - 2) Combined Heat and Power Plant, Twin Cities campus.

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

Johnson reported that the committee also reviewed the following real estate transactions: purchase of 78.13 acres in Carver County for the Landscape Arboretum;

eight-year lease of 16,774 square feet at 1200 Washington Avenue South, Minneapolis for the Academic Health Center/Medical School Advanced Research and Diagnostic Laboratory, Twin Cities campus; received the utilities and energy management annual report; and discussed a number of information items presented in the docket materials.

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

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

- a) Approval of the Consent Report for the Faculty & Staff Affairs Committee as presented to the committee and described in the February 7, 2013 committee minutes.
- b) Adoption of amendments to Board of Regents Policy: *Awards, Honors, and Recognition*, as follows:

#### **Awards, Honors, and Recognition**

This policy describes University of Minnesota (University) awards granted to faculty (Article 2), awards administered by the All-University Honors Committee (Article 3), Regents Awards (Article 4), and Other University Awards (Article 5).

The awards, honors, and recognitions described in this policy shall be bestowed in accordance with the provisions of Board of Regents Policy: Equity, Diversity, Equal Opportunity, and Affirmative Action and Board of Regents Policy: Reservation and Delegation of Authority.

### ARTICLE 1

#### INTRODUCTION

##### SECTION I. GUIDING PRINCIPLES.

The following principles shall guide the granting of awards, honors, and recognition at the University:

Subd. 1. Recognition of Excellence. The University recognizes excellence and achievement by conferring awards and honors on prominent local, state, national, and international persons who have achieved distinction in public service, enterprise, education, science, literature, and the arts.

Subd. 2. Employee Recruitment and Retention. Awards granted to employees contribute to the quality of the University in extremely significant ways, enabling the University to attract and retain a talented workforce and the very best scholars and researchers in particular fields.

##### SECTION II. CONFLICT OF INTEREST RELATING TO A REGENT.

When a Regent or former Regent is under consideration for an award (other than Regent Emeritus), a special committee, chaired and

appointed by the chair of the University Senate All-University Honors Committee (Honors Committee), shall be convened to review and approve the award. The special committee shall include the chair of the Board of Regents (Board), or the vice chair if the recommended award recipient is the chair; the vice president for university relations; the senior vice president for academic affairs and provost; and the president of the University of Minnesota Foundation (Foundation). It shall have final approval.

### SECTION III. RESTRICTIONS ON THE USE OF TITLE.

The use of the titles University, distinguished, or Regents Professor are authorized only by the Board.

## ARTICLE 2

### FACULTY AWARDS

#### SECTION I. REGENTS PROFESSOR.

The special title of Regents Professor is the highest recognition the University gives to a member of its faculty.

Subd. 1. Approval. The Board awards the title Regents Professor to selected members of the faculty, upon recommendation of the president.

Subd. 2. Management. The Office of the President manages this award process. The president appoints a Selection Advisory Committee (SAC) to review Regents professor nominations, consult with persons from other universities, and make recommendations to the president. Members of the SAC serve at the president's pleasure, but consideration shall be given for some continuity of membership.

(a) Nomination. Any person or group may nominate a faculty member to receive the title of Regents Professor. Nominations are made to the president.

(b) Selection Criteria. Nominations shall be judged according to:

- the criteria used by the University to evaluate eligibility for the rank of full professor;
- the scope and quality of scholarly and/or artistic contributions;
- the quality of teaching; and
- contributions to the public good.

Only nominees whose academic distinction is clearly outstanding and whose distinction is clearly recognized by the academic community are recommended to the president.

(c) Review and Recommendations. The SAC shall review nominees and make recommendations to the president. It is the responsibility of the president to recommend awards to the Board.



(d) Restriction on Number of Recipients. The best guarantee of the significance of this award is careful restriction of the total number of recipients. Generally, not more than three persons shall be designated Regents Professor in any given year.

Subd. 3. Provisions.

(a) Title of Regents Professor. The title Regents Professor, once awarded, shall be held as long as the recipient retains a full-time, tenured appointment as a faculty member of the University. To be considered "full-time," the recipient must hold at least a 66 percent time appointment or be on a sabbatical or other approved leave, including phased retirement. Upon retirement or reduction of the appointment to less than 66 percent time, the faculty member becomes Regents Professor Emeritus. The academic field of accomplishment shall continue to be a part of the title, as, for example, "Regents Professor of \_\_\_\_\_ (academic department or field)."

(b) Duties and Responsibilities. Designation as a Regents professor does not necessarily imply any changes in duties and responsibilities.

(c) Recognition. A person named as a Regents professor shall be suitably recognized in a public ceremony and shall receive from the University a medallion suitable for desk use and for use with academic costume.

(d) Annual Stipend. Regents professors shall receive annual stipends from a recognized University foundation during their tenure as faculty members. The stipend shall cease upon retirement or a reduction of appointment to less than 66 percent time, excluding phased retirement.

(e) Private Financial Support. The University welcomes private donor support of stipends for Regents professors. However, no endowment shall be accepted to underwrite creation of a Regents professorship in a given department or college.

(f) Salary. Appointment as a Regents professor shall not imply any particular salary level for the faculty member receiving such an honor. The salaries of Regents professors shall be determined independently and without reference to their receipt of an annual stipend from the Foundation.

(g) Budgetary Oversight. The president maintains oversight of budget items for Regents professors, but budget items shall be transferred to the college in which the recipient holds appointment.

SECTION II. MCKNIGHT AWARDS.

The following McKnight Award programs identify, recognize, and support the University's most promising faculty at critical stages in their careers:

Subd. 1. McKnight Presidential Endowed Chairs. The McKnight Presidential Endowed Chair is the highest honors of the McKnight Award programs and recognizes highly distinguished, world-class scholars.

(a) Approval. The president approves this award, upon recommendation of the senior vice president for academic affairs and provost.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

Subd. 2. McKnight Presidential Professorships. The McKnight Presidential Professorship is one of the highest honors for faculty and recognizes highly distinguished, world-class scholars.

(a) Approval. The president approves this award, upon recommendation of the senior vice president for academic affairs and provost.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

Subd. 3. Distinguished McKnight University Professorship. The Distinguished McKnight University Professorship recognizes outstanding mid-career faculty members who have recently achieved full professor status for: their scholarly achievements; the potential for greater attainment in their field; the extent to which their achievements have brought distinction to the University; the quality of their teaching and advising; and their contributions to the wider community. Recipients hold the title Distinguished McKnight University Professor for as long as they remain at the University.

(a) Approval. The senior vice president for academic affairs and provost approves this award, upon recommendation of a selection committee.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

Subd. 4. McKnight Presidential Fellows. The McKnight Presidential Fellow Award recognizes recently promoted associate professors in recognition of their research, scholarship, and leadership in their fields. Recipients hold the designation of McKnight Presidential Fellow for 3 years.

(a) Approval. The president approves this award, upon the recommendations of the senior vice president for academic affairs and provost.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

Subd. 5. McKnight Land-Grant Professorship. The McKnight Land-Grant Professorship recognizes junior scholars for their potential

for: important contributions to their field; the degree to which their past achievements and current ideas demonstrate originality, imagination, and innovation; their potential for attracting outstanding students; and the significance of their research and the clarity with which it is conveyed to the non-specialist. Recipients hold the designation of McKnight Land-Grant Professor for 2 years.

(a) Approval. The senior vice president for academic affairs and provost approves this award, upon recommendation of a selection committee.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

SECTION III. HORACE T. MORSE UNIVERSITY OF MINNESOTA ALUMNI ASSOCIATION AWARD.

The Horace T. Morse University of Minnesota Alumni Association Award is granted to faculty members and instructional academic professionals in recognition of outstanding contributions to undergraduate education.

Subd. 1. Approval. The University Senate Committee on Educational Policy (SCEP) approves this award, upon recommendation of a selection committee.

Subd. 2. Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

SECTION IV. OUTSTANDING CONTRIBUTIONS TO GRADUATE AND PROFESSIONAL EDUCATION AWARD.

The Outstanding Contributions to Graduate and Professional Education Award is granted to faculty members and instructional academic professionals in recognition of their outstanding contributions to post-baccalaureate graduate and professional education.

Subd. 1. Approval. SCEP approves this award, upon recommendation of a selection committee.

Subd. 2. Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

ARTICLE 3

ALL-UNIVERSITY HONORS AND AWARDS

All-University honors and awards are recommended to the president and the Board by the Honors Committee. The Honors Committee establishes procedures for nominations and solicits, reviews, and recommends nominations for all-University honors and awards for the University system.

Subd. 1. Honorary Degrees. The award of honorary degrees by a university is an extension of its role as the unique institution in society devoted to the discovery, transmission, and preservation of knowledge. The honorary degree is the highest award granted by the University and constitutes recognition of distinctive achievement that has added materially to knowledge and to the betterment of society.

(a) Approval. The Board approves this award.

(b) Management. The Honors Committee manages this award process and submits recommendations to the president. The president recommends awards to the Board.

(c) Provisions.

(1) Selection Criteria and Degree Titles. An honorary degree may be awarded to an individual who has achieved acknowledged eminence in cultural affairs (Doctor of Humane Letters), public service (Doctor of Laws), or a field of knowledge and scholarship (Doctor of Science). The University honors qualified persons within the academic community and other arenas, such as public service or enterprise. Persons receiving honorary degrees need not have received their education at, or have been otherwise associated with, the University. Honorary degrees shall not be awarded solely to encourage or reward contributions to the University.

(2) Public Recognition. The awarding of honorary degrees is an event at which achievement is celebrated and given public recognition. It is customary to award several honorary degrees each year.

Subd. 2. Outstanding Achievement Awards. Outstanding Achievement Awards may be granted to former students of the University who have attained unusual distinction in their chosen fields, professions, or public service, and who have demonstrated outstanding achievement and leadership on a community, state, national, or international level. Education at the University should represent a significant portion of a candidate's total education.

(a) Approval. The Board approves this award.

(b) Management. The Honors Committee manages this award process and submits recommendations to the president. The president recommends awards to the Board.

Subd. 3. Awards of Distinction. The Award of Distinction may be granted to individuals who are not or who have not been a student or employee of the University in recognition of distinction in their field, profession, and/or public or volunteer service.

(a) Approval. The Board approves this award.

(b) Management. The Honors Committee manages this award process and submits recommendations to the president. The president recommends awards to the Board.

Subd. 4. Alumni Service Awards. The Alumni Service Award may be granted to former students in recognition of volunteer service to the University; its schools, colleges, departments, or faculty; or to the University of Minnesota Twin Cities Alumni Association (Alumni Association) or any of its constituent groups.

(a) Approval. The Board approves this award.

(b) Management. The Alumni Association manages this award process. Nominations are submitted to the executive director of the Alumni Association. After review by the Alumni Association's Alumni Honors Committee, a recommendation is forwarded to the Honors Committee, which then forwards a recommendation to the president. The president recommends awards to the Board.

#### ARTICLE 4

#### REGENTS AWARDS

Subd. 1. Regents Award. The Regents Award may be granted to individuals who have performed exceptionally valuable and meritorious service to the University or contributed to the building and development of the University through significant benefactions. Candidacy is not limited to graduates or former students of the University.

(a) Approval. The Regents Award Nominating Committee approves this award.

(b) Management. The Board Office manages this award process. A Regents Award Nominating Committee reviews nominations and selects recipients of the Regents Award. The committee shall include three members of the Board appointed by the chair of the Board, the president, the senior vice president for academic affairs and provost, and the chair of the Senate Consultative Committee. The president of the Foundation shall serve as an ex officio member.

Subd. 2. Certificate of Outstanding Merit. The Certificate of Outstanding Merit is given to an individual or group of individuals in the University in recognition of outstanding community service.

(a) Approval. The chair of the Board approves this award.

(b) Management. The Board Office manages this award process.

Subd. 3. Certificate of Recognition. The Certificate of Recognition recognizes significant achievement by members of the University community who have attained unusual distinction in a field of knowledge and scholarship.

(a) Approval. The chair of the Board approves this award.

(b) Management. The Board Office manages this award process.

Subd. 4. Distinguished International Service Award. The Distinguished International Service Award recognizes distinguished foreign dignitaries visiting the University.

(a) Approval. The chair of the Board approves this award.

(b) Management. The Board Office manages this award process.

Subd. 5. Regent Emeritus Title. Regents are awarded the title of Regent Emeritus upon their retirement from the Board.

Subd. 6. President Emeritus Title. The title of President Emeritus may be bestowed upon a president who has completed service as president of the University.

(a) Approval. The chair of the Board approves the awarding of the title of President Emeritus.

(b) Management. The Board Office manages this award process.

## ARTICLE 5

### OTHER UNIVERSITY AWARDS

Subd. 1. Josie R. Johnson Human Rights and Social Justice Award. The Josie R. Johnson Human Rights and Social Justice Award recognizes individuals who, through their principles and practices, exemplify a high standard of excellence in creating respectful and inclusive learning and working environments. Recipients must have made outstanding contributions to the promotion of human rights and social justice within the University community. At least one faculty or staff member and one student shall receive this award each year.

(a) Approval. The Josie R. Johnson Human Rights and Social Justice Award Selection Committee approves this award.

(b) Management. The Office of the Vice President for Equity and Diversity manages this award process.

Subd. 2. Outstanding Community Service Award. The Outstanding Community Service Award recognizes the outstanding contributions and accomplishments of faculty, staff, or community members who have made substantial, enduring contributions to the community and improved public life and the well being of society. Such contributions and accomplishments must result in long-term and lasting changes for the public good and demonstrate an unusual commitment to the University and the larger Minnesota community.

(a) Approval. The senior vice president for academic affairs and provost approves this award, upon recommendation of a selection committee.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

Subd. 3. President's Award for Outstanding Service. The President's Award for Outstanding Service recognizes exceptional service to the University and its schools, colleges, departments, and service units by any active or retired member of the faculty or staff. Such service must go well beyond the regular duties of a faculty or staff member and must demonstrate unusual commitment to the University community.

(a) Approval. The president approves this award, upon recommendation of the President's Award for Outstanding Service Committee.

(b) Management. The Office of the President manages this award process.

Subd. 4. President's Community-Engaged Scholar Award. The President's Community-Engaged Scholar Award recognizes scholarly work conducted in partnership with a community partner.

(a) Approval. The senior vice president for academic affairs and provost approves this award, upon recommendation of a committee.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this process.

Subd. 5. John Tate Awards for Excellence in Undergraduate Advising. The John Tate Awards for Excellence in Undergraduate Advising recognize and reward outstanding academic advising and call attention to the contributions that academic advising makes in helping students formulate and achieve intellectual, career, and personal goals.

(a) Approval. The vice provost for undergraduate education approves this award, upon recommendation of a committee appointed by the vice provost for undergraduate education.

(b) Management. The Office of the Senior Vice President for Academic Affairs and Provost manages this award process.

Subd. 6. Certificate of Appreciation. The Certificate of Appreciation may be awarded to any person for contributions or services at the collegiate or all-University level.

(a) Approval. The relevant unit approves this award.

(b) Management. The relevant unit manages this award process.

Subd. 7. Teaching Awards. Some individual collegiate units recognize teaching excellence.

(a) Approval. The relevant collegiate unit approves this award.

(b) Management. The relevant collegiate unit manages this award process.

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

Simmons reported that the committee also received an analysis of organizational structure; discussed all-University recruiting and hiring; and reviewed the information items contained in the docket materials.

#### **REPORT OF THE FINANCE COMMITTEE**

Regent Frobenius, Chair of the committee, reported that the committee received the Annual Capital Finance and Debt Management Report; discussed the Annual Insurance and Risk Management Report; received a presentation on peer comparisons in annual investment performance; received and discussed metrics for Board oversight and the financial dashboard; and reviewed a number of information items included in the docket materials.

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

Regent Beeson, Chair of the committee, reported that the committee received the external auditors review of completed audit work and letters to management; discussed the risk profile of the University's human resources infrastructure; received an internal audit update; received an accountability update on the Clinical and Translational Science Institute; and reviewed the information items contained in the docket materials.

#### **REPORT OF THE ACADEMIC & STUDENT AFFAIRS COMMITTEE**

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

- a) Approval of the Consent Report of the Academic & Student Affairs Committee as presented to the committee and described in the February 7, 2013 committee minutes.
- b) Adoption of amendments to Board of Regents Policy: *Activities Involving Recombinant DNA or Other Potentially Hazardous Biological Agents*, as follows:

#### **Activities Involving Recombinant and Synthetic Nucleic Acid Molecules or Other Potentially Hazardous Biological Agents**

##### SECTION I. SCOPE.

This policy applies to all research or teaching activities conducted at the University of Minnesota (University) involving recombinant and synthetic nucleic acid molecules or other potentially hazardous biological agents.

##### SECTION II. DEFINITIONS.



Subd. 1. Biological Agent. *Biological agent* shall mean infectious agents, biologically-derived toxins, and recombinant and synthetic nucleic acid molecules.

Subd. 2. Institutional Biosafety Committee. *Institutional Biosafety Committee* (IBC) shall mean the committee appointed by the president or delegate in accordance with National Institutes of Health guidelines and other applicable requirements and policies to review University activities involving recombinant and synthetic nucleic acid molecules or other biological agents.

Subd. 3. Recombinant and Synthetic Nucleic Acid Molecules. Recombinant and synthetic nucleic acid molecules shall mean (i) molecules that a) are constructed by joining nucleic acid molecules and b) can replicate in a living cell (i.e. recombinant nucleic acids); (ii) nucleic acid molecules that are chemically or by other means synthesized or amplified, including those that are chemically or otherwise modified but can base pair with naturally occurring nucleic acid molecules (i.e. synthetic nucleic acids); or (iii) molecules that result from the replication of those described in (i) or (ii) above or as defined by the National Institutes of Health.

### SECTION III. GUIDING PRINCIPLE.

University faculty, staff, and students using potentially hazardous biological agents in research or teaching activities shall perform those activities in ways that eliminate or reduce potential exposure to personnel, students, animals, and the environment.

### SECTION IV. COMPLIANCE PROVISIONS.

Subd. 1. Responsibilities of the IBC. The president or delegate shall ensure that the IBC oversees research and teaching activities involving:

- (a) recombinant and synthetic nucleic acid molecules in compliance with safety requirements established by the National Institutes of Health in the *Guidelines for Research Involving Recombinant DNA Molecules*, 51 Fed. Reg. 16,958 (1986, and as subsequently revised); and
- (b) other potentially hazardous biological agents in compliance with safety requirements established by the Centers for Disease Control/National Institutes of Health in the manual *Biosafety in Microbiological and Biomedical Laboratories* (4th edition May 1999 and subsequent editions).

Subd. 2. Compliance with University Policies. The president or delegate shall maintain administrative policies and procedures to implement this policy.

SUPERSEDES: HAZARDOUS BIOLOGICAL MATERIALS CONTROLS (DNA) POLICY DATED SEPTEMBER 9, 1977.

- c) Adoption of amendments to Board of Regents Policy: *Animal Care and Use*, as follows:

### **Animal Care and Use**

#### SECTION I. SCOPE.

This policy governs University of Minnesota (University) research, teaching, display, and service activities involving animals when conducted by, or on the behalf of, University faculty, staff, or students or when using University facilities or equipment.

#### SECTION II. COMMITMENT.

The Board of Regents (Board) of the University affirms the appropriate use of animals in research, teaching, display, and service activities and is committed to the highest standards for their humane care and use. The president shall support and protect the officially sanctioned use of animals covered pursuant to this policy.

#### SECTION III. GUIDING PRINCIPLES.

In performing their duties, University faculty, staff, and students shall adhere to the following recognized principles:

- (a) procedures involving animals shall be designed and performed with due consideration for their relevance to human or animal health, the advancement of knowledge, or the good of society; and
- (b) the proper use of animals requires avoidance or minimization of discomfort, distress, and pain.

#### SECTION IV. DEFINITIONS.

Subd. 1. Institutional Animal Care and Use Committee. Institutional Animal Care and Use Committee (IACUC) shall mean the committee established by the president or delegate in accordance with federal regulations to review University animal care and use protocols, animal facilities, and the overall animal program.

Subd. 2. Institutional Official. Institutional official shall mean the individual appointed by the president to oversee all aspects of the University's animal care and use programs. The institutional official shall be an individual with the authority to allocate resources needed to maintain a smoothly functioning animal care and use program based on recommendations and advice received from the IACUC and the attending veterinarian. The institutional official shall be authorized to legally commit on behalf of the University that the requirements of the Public Health Service Policy on the Humane Care and Use of Animals (PHS Policy) and the USDA Animal Welfare Act (AWA) and its regulations (AWAR) will be met.

Subd. 3. Attending Veterinarian. Attending veterinarian shall mean an individual qualified by virtue of appropriate postgraduate

training and/or experience in laboratory animal science and medicine who has the appropriate authority to execute the duties inherent in assuring the adequacy of veterinary care and overseeing other aspects of animal care and use to ensure that the program meets applicable standards.

Subd. 4. Research Animal Resources. Research Animal Resources (RAR) shall mean the program established by the president or delegate to provide veterinary services and support for activities covered under this policy.

#### SECTION V. COMPLIANCE WITH FEDERAL AND STATE LAW.

Subd. 1. Federal and University Responsibilities. As required by federal law, the president or delegate shall appoint an IACUC to ensure that activities covered under this policy meet federal requirements. The president or delegate is responsible for overseeing the IACUC. University officials may not approve an activity covered under this policy if it has not been approved by the IACUC. Activities approved by the IACUC nevertheless may be subject to further review and approval by University officials.

Subd. 2. Regulatory Compliance. All activities covered by this policy must comply with applicable federal and state regulations and guidelines, including, but not limited to, the PHS Policy, the National Research Council Guide for the Care and Use of Laboratory Animals, the USDA AWARs, and the Guide for the Care and Use of Agricultural Animals.

#### SECTION VI. UNIVERSITY COMPLIANCE PROVISIONS.

Subd. 1. President. The president shall:

- (a) ensure that activities covered under this policy meet federal requirements; and
- (b) oversee the institutional official.

Subd. 2. Institutional Official. The institutional official shall:

- (a) ensure compliance with applicable laws, guidelines, and policies;
- (b) appoint IACUC members, in consultation with the leadership of the IACUC;
- (c) perform all necessary reporting requirements, including reports to the appropriate federal governmental and University officials any serious or continuing noncompliance with applicable laws and policies and any corrective action taken; and
- (d) consult with the Office of the General Counsel in carrying out these responsibilities as appropriate; and
- (e) oversee the attending veterinarian.

Subd. 3. Attending Veterinarian. The attending veterinarian shall:

- (a) be a voting member of the IACUC; and
- (b) have direct or delegated authority and responsibility to ensure the provision of adequate veterinary care and to oversee the adequacy of other aspects of the animal care program.

Subd. 4. Research Animal Resources. The veterinary services and support provided by RAR shall include husbandry programs and facilities; veterinary medical services; and consultation on the selection, care, and use of University animals consistent with the recommendations in the Guide for the Care and Use of Laboratory Animals.

Subd. 5. IACUC. The IACUC shall have the authority and responsibility to:

- (a) review and approve, require modifications to, or withhold approval of all University activities involving animals prior to the start of the activity;
- (b) conduct semi-annual inspections of facilities where animals are being housed or used;
- (c) conduct semi-annual evaluations of the University's animal care and use program;
- (d) conduct continuing review of previously approved activities at appropriate intervals as determined by applicable regulations;
- (e) review and investigate complaints of noncompliance; and
- (f) promptly report to the institutional official:
  - (1) any alleged serious or continuing noncompliance with federal or state laws or University policies or procedures; and
  - (2) any corrective actions taken in response to noncompliance.
- (g) gain access to all facilities used for the care and research of animals;
- (h) obtain University records and other relevant information related to the use of animals; and
- (i) take any actions, including suspending an activity, that are in its judgment necessary to ensure compliance with applicable federal, state, or University policies and procedures.

Subd. 6. University Faculty, Staff, and Students. University faculty, staff, and students involved in the care and use of animals shall:

- (a) be appropriately qualified or supervised for conducting procedures on animals;
- (b) satisfy all required training;
- (c) enroll and participate in an occupational health program as required; and
- (d) abide by and carry out the decisions of the IACUC.

SECTION VII. ADMINISTRATIVE PROCEDURES.

The IACUC, with responsible oversight by the president or delegate, shall maintain appropriate administrative policies and procedures to implement this policy.

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

Ramirez reported that the committee also discussed eLearning vision and direction and received an assessment of undergraduate student learning.

**REPORT OF THE LITIGATION REVIEW COMMITTEE**

Chair Cohen reported that the committee did not meet this month.

The meeting adjourned at 11:02 a.m.



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