UNIVERSITY OF MINNESOTA
BOARD OF REGENTS
Friday, February 12, 2010
9:00 - 11:30 a.m.
600 McNamara Alumni Center, Boardroom

Board Members
Clyde Allen, Chair
Linda Cohen, Vice Chair
Anthony Baraga
Richard Beeson
Dallas Bohnsack
John Frobenius
Venora Hung
Steven Hunter
Dean Johnson
David Larson
Maureen Ramirez
Patricia Simmons

AGENDA

1. Introductions - R. Bruininks/T. Sullivan (pp. 3-4)
   A. Vice Provost & Dean of Graduate Education
   B. Dean, College of Education & Human Development
2. Approval of Minutes - Action - C. Allen
3. Report of the President - R. Bruininks
4. Report of the Chair - C. Allen
5. Receive and File Reports (p. 5-25)
6. Consent Report - Review/Action - C. Allen
   A. Report of the All-University Honors Committee
   B. Gifts
7. Board of Regents Policy: Reservation and Delegation of Authority - Action - C. Allen/M. Rotenberg (pp. 26-33)
8. Board of Regents Policy: Founding Date, Corporate Name and Seal, and University Marks - Action - K. Himle/M. Rotenberg (pp. 34-37)
11. Commercialization of Technology - T. Mulcahy/J. Schrankler (pp. 45-77)
12. Report of the Facilities Committee - S. Hunter
13. Report of the Faculty, Staff & Student Affairs Committee - D. Johnson
15. Report of the Audit Committee - S. Hunter
16. Report of the Educational Planning & Policy Committee - P. Simmons
18. Old Business
19. New Business
20. Adjournment
Board of Regents  
February 12, 2010

**Agenda Item:** Introductions: Vice Provost & Dean of Graduate Education; B) Dean, College of Education & Human Development

☐ review  ☐ review/action  ☐ action  ☒ discussion

**Presenters:** Senior Vice President/Provost Thomas Sullivan

**Purpose:**

☐ policy  ☐ background/context  ☐ oversight  ☐ strategic positioning

To introduce Professor Henning Schroeder as the new Vice Provost and Dean of Graduate Education to the Board of Regents and University community.

**Outline of Key Points/Policy Issues:**

**Background Information:**

A) Vice Provost & Dean of Graduate Education

On November 13, 2009, the Board of Regents approved the appointment of Professor Henning Schroeder as the University’s new vice provost and dean of graduate education, and his appointment as dean began on January 19, 2010. His responsibilities cover both Ph.D. and masters programs as well as aspects of the professional doctorate program.

Professor Schroeder earned both his doctorate and professional pharmacy degree from Düsseldorf University, and was a postdoctoral scholar at Stanford University where he worked in the group of Nobel Laureate Ferid Murad. As an active international scholar, Professor Schroeder’s research focuses on cardiovascular disease and the regulation of antioxidant genes. He has published over 80 peer reviewed articles and over 60 review articles and book chapters, and the work of his group and graduate students has been honored with numerous awards since. Since 2007 Professor Schroeder has served as associate dean for Research and Graduate Studies and as professor in the Department of Pharmaceutics in the University’s School of Pharmacy. Professor Schroeder previously was a visiting professor at Stanford University and served on the faculty of both the Martin Luther University School of Pharmacy in Germany (where he was chair of the Department of Pharmacology for 12 years) and Düsseldorf University.
B) Dean, College of Education & Human Development

The Board of Regents approved the appointment of Professor Jean Quam as the dean of the College of Education and Human Development on November 13, 2009 following her service as interim dean since October 2008. Professor Quam earned a Ph.D. in social welfare from the University of Wisconsin-Madison, an M.S.W. in psychiatric social work from the University of Nebraska-Lincoln, and a B.A. in social work from Moorhead State University. She has been a professor in the School of Social Work at the University of Minnesota since 1980. Before serving as interim dean, and now dean of the college, Professor Quam also served the University as the college’s senior associate dean for academic affairs and faculty development from 2007-2008, and as the director of the School of Social Work from 1991-2006. She has been active in a number of professional organizations including the state and national organizations of the National Association of Social Workers, the National Association of Deans and Directors of Schools of Social Work, the Council on Social Work Education and the American Society on Aging.
Board of Regents

Agenda Item: Consent Report

☐ review ☒ review/action ☐ action ☐ discussion

Presenters: Regent Clyde Allen

Purpose:

☐ policy ☐ background/context ☒ oversight ☐ strategic positioning

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

Outline of Key Points/Policy Issues:

Items for consideration:

I. Report of the All-University Honors Committee
   The president recommends approval of the All-University Honors recommendation forwarded to the Board of Regents in a letter dated January 29, 2010.

II. Gifts
   The President recommends approval of the Summary Report of Gifts to the University of Minnesota through December 31, 2009 (attached).

Background Information:

President’s Recommendation for Action:

The President recommends approval of the Consent Report.
### MEETING OF THE BOARD OF REGENTS

**GIFTS TO BENEFIT THE UNIVERSITY OF MINNESOTA**

**SUMMARY REPORT***

**February 12, 2010 Regents Meeting**

<table>
<thead>
<tr>
<th></th>
<th>November</th>
<th>Year-to-Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2009</td>
<td>2008</td>
</tr>
<tr>
<td>U of M Gift Receiving</td>
<td>$294,451</td>
<td>$742,314</td>
</tr>
<tr>
<td>4-H Foundation</td>
<td>20,645</td>
<td>21,194</td>
</tr>
<tr>
<td>Arboretum Foundation</td>
<td>193,032</td>
<td>489,210</td>
</tr>
<tr>
<td>MN Medical Foundation</td>
<td>4,061,809</td>
<td>2,319,371</td>
</tr>
<tr>
<td>Univ of MN Foundation</td>
<td>7,677,468</td>
<td>13,217,836</td>
</tr>
<tr>
<td><strong>Total Gift Activity</strong></td>
<td><strong>$12,247,405</strong></td>
<td><strong>$16,789,925</strong></td>
</tr>
</tbody>
</table>

*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 received in November 2009

<table>
<thead>
<tr>
<th>Donor</th>
<th>Recd by</th>
<th>Gift/Pledge</th>
<th>Purpose of gift</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>$1 Million and Over</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fairview Health Services</td>
<td>UMF/MMF</td>
<td>Gift</td>
<td>Carlson School of Management, Medical School Administration</td>
</tr>
<tr>
<td>Hormel Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Hormel Foundation Grant</td>
</tr>
<tr>
<td><strong>$250,000 - $500,000</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ecolab Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td><strong>$100,000 - $250,000</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Charles F. Murphy Estate</td>
<td>UMF</td>
<td>Gift</td>
<td>Unrestricted</td>
</tr>
<tr>
<td>3M Company</td>
<td>UMF/MMF</td>
<td>Gift</td>
<td>Carlson School of Management, Institute of Technology, Center for Infectious Disease Research and Policy, U of M Medical School - Duluth</td>
</tr>
<tr>
<td>Rosemary Kubicek</td>
<td>MMF</td>
<td>Pledge</td>
<td>Scholarships</td>
</tr>
<tr>
<td>Thomas E. Oland</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Erwin Tomash</td>
<td>UM</td>
<td>Gift</td>
<td>Libraries</td>
</tr>
<tr>
<td>Wilma and Carl Machover</td>
<td>UM</td>
<td>Gift</td>
<td>Libraries</td>
</tr>
<tr>
<td>SuperValu Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Adopt A Room</td>
<td>MMF</td>
<td>Gift</td>
<td>Academic Health Center</td>
</tr>
<tr>
<td>William H. and Jane Dudley</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>William R. and Terry Dircks</td>
<td>UMF</td>
<td>Pledge</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td><strong>$50,000 - $100,000</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Peter I. Peterson Estate</td>
<td>UMF</td>
<td>Gift</td>
<td>Unrestricted</td>
</tr>
<tr>
<td>Alice I. Weidenfeller</td>
<td>MMF</td>
<td>Gift</td>
<td>Academic Health Center</td>
</tr>
<tr>
<td>Hills Pet Nutrition Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>St. Jude Medical Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>M.A.G.I.C.</td>
</tr>
<tr>
<td>Independent School District 709</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Marjorie Hayden Estate</td>
<td>UMF</td>
<td>Gift</td>
<td>Unrestricted</td>
</tr>
<tr>
<td>Helen S. Henton Trust</td>
<td>UMF</td>
<td>Gift</td>
<td>Unrestricted</td>
</tr>
<tr>
<td>Jean M. Gibson Estate</td>
<td>UMF</td>
<td>Gift</td>
<td>Unrestricted</td>
</tr>
<tr>
<td>Lee B. and Margaret J. Skold</td>
<td>UMF</td>
<td>Pledge</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>3M Foundation Incorporated</td>
<td>UMF/UM</td>
<td>Gift/Pledge</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Annette J. McBeth</td>
<td>UMF</td>
<td>Pledge</td>
<td>School of Nursing</td>
</tr>
<tr>
<td>Donald M. Sullivan</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Amount Range</td>
<td>Company/Name</td>
<td>Organization</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>--------------</td>
<td>--------------</td>
<td>-------------</td>
</tr>
<tr>
<td>$50,000 - $100,000</td>
<td>ExxonMobil Corporation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>General Motors LLC</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>HealthPartners Incorporated</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Jeff Cowan</td>
<td>UMF</td>
<td>Pledge</td>
</tr>
<tr>
<td></td>
<td>Robertet Flavors Incorporated</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>$25,000 - $50,000</td>
<td>Elizabeth T. Harnsberger Estate</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Kelloggs Corporate Citizenship Fund</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Theodore G. Moen</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Margaret V. Taplin</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Cancer Benefit Fund</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Medica</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>The Dow Chemical Company Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Campbell Foundation</td>
<td>UMF/UM</td>
<td>Gift/Pledge</td>
</tr>
<tr>
<td></td>
<td>Kenneth C. Glaser</td>
<td>UMF</td>
<td>Pledge</td>
</tr>
<tr>
<td></td>
<td>Minnesota Landscape Arboretum Auxiliary</td>
<td>UM</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Schmalz Charitable Fund-Community Foundation Decatur/Macon County</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Roy A. McKinnion Estate</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Allergan Incorporated</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Travelers Incorporated</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Bayer Corporation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Michael A. Donner Estate</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Boston Scientific Corporation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Bruce D. Howard</td>
<td>MMF</td>
<td>Pledge</td>
</tr>
<tr>
<td></td>
<td>Jill C. Vecoli</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Patrick G. Hays</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>$10,000 - $25,000</td>
<td>Dr. Samuel K. Maheswaran</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Fay Gallus and Richard Sweet</td>
<td>UM</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Harry C. Walker Estate</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Frances K. Spira</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Hinman Family Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
</tbody>
</table>
### $10,000 - $25,000

<table>
<thead>
<tr>
<th>Name</th>
<th>Source Type</th>
<th>Type</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joel A. Ronning</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Dr. Maurice W. Meyer</td>
<td>UMF</td>
<td>Gift</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Columbia University</td>
<td>MMF</td>
<td>Gift</td>
<td>Research</td>
</tr>
<tr>
<td>RespirTech</td>
<td>MMF</td>
<td>Gift</td>
<td>Pediatrics</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>Medical School Administration</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>Medical School Administration</td>
</tr>
<tr>
<td>E. I. DuPont DeNemours and Company</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>OB/Gyn</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>Schulze Diabetes Institute</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Hazelden Foundation</td>
<td>MMF</td>
<td>Gift</td>
<td>Psychiatry</td>
</tr>
<tr>
<td>Nancy and Warren MacKenzie Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts, Weisman Art Museum</td>
</tr>
<tr>
<td>Dr. Stanley M. and Luella G. Goldberg</td>
<td>UMF</td>
<td>Gift/Pledge</td>
<td>Carlson School of Management, Humphrey Institute of Public Affairs, Academic Health Center</td>
</tr>
<tr>
<td>Dr. Jacqueline S. Mithun</td>
<td>UMF</td>
<td>Gift</td>
<td>Law School</td>
</tr>
<tr>
<td>Dow AgroSciences LLC</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Crystal Farms R.D.C.</td>
<td>MMF</td>
<td>Gift</td>
<td>Neurology</td>
</tr>
<tr>
<td>Dr. Thomas P. Kempf</td>
<td>UMF</td>
<td>Pledge</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>H. B. Fuller Company</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Mike P. and Jennifer Zechmeister</td>
<td>UMF</td>
<td>Pledge</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Target Corporation</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology, Weisman Art Museum</td>
</tr>
<tr>
<td>Emerson Electric Company</td>
<td>UMF/UM</td>
<td>Gift/Pledge</td>
<td>Department of Intercollegiate Athletics, Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Superior Beverages LLC</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Charles E. Proshek Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Academic Health Center</td>
</tr>
<tr>
<td>Community Health Charities Minnesota</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Dr. L. David Engel</td>
<td>UMF</td>
<td>Gift</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Judith T. Younger</td>
<td>UMF</td>
<td>Gift</td>
<td>Law School</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>Best Buy Childrens Foundation</td>
<td>UM</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Best Buy Purchasing LLC</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Biosphere Medical Incorporated</td>
<td>MMF</td>
<td>Gift</td>
<td>Radiology</td>
</tr>
<tr>
<td>Dr. Harrison G. and Kathryn W. Gough</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts, College of Education and Human Development</td>
</tr>
<tr>
<td>Impax Laboratories Incorporated</td>
<td>MMF</td>
<td>Gift</td>
<td>Psychiatry</td>
</tr>
<tr>
<td>James Annenberg La Vea</td>
<td>UMF</td>
<td>Gift</td>
<td>Law School</td>
</tr>
</tbody>
</table>
$10,000 - $25,000

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>Type</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loren S. Schechter</td>
<td>MMF</td>
<td>Pledge</td>
<td>Family Medicine and Community Health</td>
</tr>
<tr>
<td>Lorraine P. Jamar</td>
<td>MMF</td>
<td>Gift</td>
<td>OB/Gyn</td>
</tr>
<tr>
<td>Marion DeWall</td>
<td>UMF</td>
<td>Gift/Pledge</td>
<td>University of Minnesota, Morris</td>
</tr>
<tr>
<td>Mary A. Ebert and Paul R. Stembler</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Mary C. Cunningham</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Minnesota Timberwolves Community</td>
<td>UMF</td>
<td>Gift</td>
<td>4H Foundation</td>
</tr>
<tr>
<td>Paul A. H. Pankow</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Pharmasan Labs Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>Preserve International</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>Robert and Maureen V. Vince</td>
<td>UMF</td>
<td>Gift</td>
<td>Academic Health Center</td>
</tr>
<tr>
<td>Sheldon C. Siegel</td>
<td>MMF</td>
<td>Gift</td>
<td>Pediatrics</td>
</tr>
<tr>
<td>The Jay and Rose Phillips Family</td>
<td>MMF</td>
<td>Gift</td>
<td>Research</td>
</tr>
<tr>
<td>The Toro Company</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>UnitedHealthcare Services Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
</tbody>
</table>

$5,000 - $10,000

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>Type</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audrey P. Kirby</td>
<td>MMF</td>
<td>Gift</td>
<td>Surgery</td>
</tr>
<tr>
<td>Jack Zipes</td>
<td>UM</td>
<td>Gift</td>
<td>Libraries</td>
</tr>
<tr>
<td>Cardiovascular Systems Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Irmagene S. Stark Estate</td>
<td>UM</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Emerson Charitable Trust</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>ExxonMobil Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Ernst and Young Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>American Crystal Sugar Company</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Resource Sciences</td>
</tr>
<tr>
<td>FHL Foundation Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>National Multiple Sclerosis Society MN</td>
<td>MMF</td>
<td>Gift</td>
<td>Neurology</td>
</tr>
<tr>
<td>Chapter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jacqueline N. Jones</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts, Weisman Art Museum</td>
</tr>
<tr>
<td>Thomas F. Grose</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Alpharma Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>Allison J. and Sourabh Sen</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>B. John Lindahl Jr.</td>
<td>UM</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Jon S. Hallberg</td>
<td>MMF</td>
<td>Gift</td>
<td>Family Medicine and Community Health</td>
</tr>
</tbody>
</table>
### $5,000 - $10,000

<table>
<thead>
<tr>
<th>Organization</th>
<th>Type</th>
<th>Designation</th>
<th>College/Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minnesota Turkey Research and Promotion Council</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>SuperValu Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>IBM International Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Hawk Mountain Sanctuary Association</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Jane T. Adams</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Lisa Robaut</td>
<td>MMF</td>
<td>Gift</td>
<td>Pediatrics</td>
</tr>
<tr>
<td>Boeing Company</td>
<td>UMF</td>
<td>Pledge</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Clinique Demeter</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>Dana J. Dykhouse</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Dr. Michael A. Strobel</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>Jane M. Rademacher</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Maurice L. Whitaker</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Midwest Food Processors Association</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Polaris Industries Incorporated</td>
<td>UM</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Itasca Dental Providers</td>
<td>UMF</td>
<td>Gift</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Alfred Aeppli</td>
<td>UMF</td>
<td>Gift</td>
<td>Unrestricted</td>
</tr>
<tr>
<td>Dr. Ioannis G. Koutlas</td>
<td>UMF</td>
<td>Gift/Pledge</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Alan R. Flory Charitable Fund-American Ctr Philanthropy</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>American Agricultural Economics Association</td>
<td>UMF</td>
<td>Gift</td>
<td>Libraries</td>
</tr>
<tr>
<td>Andrew S. Gottschalk</td>
<td>UM</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Betty M. Gallagher</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>BFW Institute of Research and Education</td>
<td>MMF</td>
<td>Gift</td>
<td>Pediatrics</td>
</tr>
<tr>
<td>Bio-Microbics Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Burton .S and Long X. Visnick</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Design</td>
</tr>
<tr>
<td>C. H. Robinson Worldwide Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Dave and Jodi Dent Family Fund-Minneapolis Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>David R. Boulware</td>
<td>MMF</td>
<td>Gift</td>
<td>Medicine</td>
</tr>
<tr>
<td>Dr. John I. and Nancy A. Erdos</td>
<td>UMF</td>
<td>Pledge</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Dr. Nelson L. and Patricia F. Rhodus</td>
<td>UMF</td>
<td>Pledge</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Dr. Patrick M. Lloyd Jr.</td>
<td>UMF</td>
<td>Gift</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Eaton Charitable Fund</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Florence A. Kahn</td>
<td>UMF</td>
<td>Gift</td>
<td>School of Nursing</td>
</tr>
<tr>
<td>Name</td>
<td>UMF/MMF</td>
<td>Gift/Pledge</td>
<td>College/Department</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>---------</td>
<td>-------------</td>
<td>-------------------------------------------------------</td>
</tr>
<tr>
<td>George Bugliarello</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Harry A. and Rita M. Engelbrecht</td>
<td>UMF</td>
<td>Gift</td>
<td>On Campus Stadium</td>
</tr>
<tr>
<td>Matt Mazzucchi</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Nielsens Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Crookston</td>
</tr>
<tr>
<td>Pamela S. Olson</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Pat Whitcomb and Patty Napier</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Rickeman/Murphy Family Fund of the</td>
<td>UM</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Minneapolis Foundation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Robert K. K. Pang</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Robert Pohlad</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Rodney H. Forristall</td>
<td>UM</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Rosemary H. and David F. Good Family</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Foundation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stuart A. Nielsen</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>The Greulich Family Trust</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Timothy L. Doppler</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Morris</td>
</tr>
<tr>
<td>Valerian B. and Carolyn Kuechle</td>
<td>UMF</td>
<td>Pledge</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Virginia L. Ranz</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
</tbody>
</table>
### MEETING OF THE BOARD OF REGENTS

**GIFTS TO BENEFIT THE UNIVERSITY OF MINNESOTA**

**SUMMARY REPORT**

#### February 12, 2010 Regents Meeting

<table>
<thead>
<tr>
<th>Category</th>
<th>December</th>
<th>Year-to-Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2009</td>
<td>2008</td>
</tr>
<tr>
<td>U of M Gift Receiving</td>
<td>$ 596,236</td>
<td>$ 91,753</td>
</tr>
<tr>
<td>4-H Foundation</td>
<td>42,708</td>
<td>59,086</td>
</tr>
<tr>
<td>Arboretum Foundation</td>
<td>562,654</td>
<td>684,149</td>
</tr>
<tr>
<td>MN Medical Foundation</td>
<td>6,245,684</td>
<td>45,893,188</td>
</tr>
<tr>
<td>Univ of MN Foundation</td>
<td>19,797,910</td>
<td>13,443,592</td>
</tr>
<tr>
<td><strong>Total Gift Activity</strong></td>
<td><strong>$ 27,245,192</strong></td>
<td><strong>$ 60,171,768</strong></td>
</tr>
</tbody>
</table>

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

Pledges are recorded when they are received. To avoid double reporting, any receipts which are payments on pledges are excluded from the report amount.
## Gifts to benefit the University of Minnesota

**Gifts received in December 2009**

<table>
<thead>
<tr>
<th>Donor</th>
<th>Recd by</th>
<th>Gift/Pledge</th>
<th>Purpose of gift</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>$1 Million and Over</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>Family Medicine and Community Health</td>
</tr>
<tr>
<td>Hormel Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Hormel Institute</td>
</tr>
<tr>
<td>UnitedHealth Group</td>
<td>UMF</td>
<td>Pledge</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td><strong>$500,000 - $1,000,000</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>College Program Support</td>
</tr>
<tr>
<td>Clifford I. Anderson</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td><strong>$250,000 - $500,000</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mary L. Dyar</td>
<td>MMF</td>
<td>Gift</td>
<td>Scholarships</td>
</tr>
<tr>
<td>3M Foundation Incorporated</td>
<td>UMF/UM/MMF</td>
<td>Gift/Pledge</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UM</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Virginia G. Puzak</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics, College of Education and Human Development</td>
</tr>
<tr>
<td>Dr. Darby M. and Geraldine M. Nelson</td>
<td>UMF</td>
<td>Pledge</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Franck L. Gougeon</td>
<td>MMF</td>
<td>Pledge</td>
<td>Pediatrics</td>
</tr>
<tr>
<td>Danny Thompson Memorial Golf Tournament</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>The McKnight Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Various Programs</td>
</tr>
<tr>
<td>Milton K. and Margie M. Woodhouse</td>
<td>UMF</td>
<td>Gift</td>
<td>Weisman Art Museum</td>
</tr>
<tr>
<td>Mortenson Properties Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Design</td>
</tr>
<tr>
<td><strong>$100,000 - $250,000</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Richard A. Norling</td>
<td>MMF</td>
<td>Gift</td>
<td>School of Public Health</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Arnold S. Leonard Cancer Research Fund</td>
<td>MMF</td>
<td>Gift</td>
<td>Surgery</td>
</tr>
<tr>
<td>Best Buy Childrens Foundation</td>
<td>UMF/MMF</td>
<td>Gift</td>
<td>College of Education and Human Development, Pediatrics</td>
</tr>
<tr>
<td>Grace A. McCready</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>William W. McGuire</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>William R. Kennedy</td>
<td>MMF</td>
<td>Gift</td>
<td>Neurology</td>
</tr>
<tr>
<td>Norman Family Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Margaret Harvey Schering Trust for Cancer Research</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Verizon Wireless</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Education and Human Development</td>
</tr>
</tbody>
</table>
### $100,000 - $250,000

<table>
<thead>
<tr>
<th>Organization/Person</th>
<th>UMF or MMF</th>
<th>Gift/Pledge</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>HealthPartners Incorporated</td>
<td>UMF</td>
<td>Gift/Pledge</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Rodney L. Cooperman</td>
<td>MMF</td>
<td>Gift</td>
<td>Medicine</td>
</tr>
<tr>
<td>David and Janis Larson Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Amgen Incorporated</td>
<td>MMF</td>
<td>Gift</td>
<td>Pediatrics</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
<td>Medicine</td>
</tr>
<tr>
<td>Cargill Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>Humphrey Institute of Public Affairs</td>
</tr>
<tr>
<td>Frederick J. Bollum</td>
<td>MMF</td>
<td>Gift</td>
<td>Biochemistry, Molecular Biology and Biophysics</td>
</tr>
<tr>
<td>Helen H. Wang</td>
<td>MMF</td>
<td>Gift</td>
<td>Medicine</td>
</tr>
<tr>
<td>Margaret Bredeson</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
</tbody>
</table>

### $50,000 - $100,000

<table>
<thead>
<tr>
<th>Organization/Person</th>
<th>UMF or UMF or UM</th>
<th>Gift/Pledge</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Mills Foundation</td>
<td>UMF/UM</td>
<td>Gift/Pledge</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Conrad I. Karleen and Ruth V. Karleen Charitable Trust</td>
<td>MMF</td>
<td>Gift</td>
<td>Scholarships</td>
</tr>
<tr>
<td>Dr. David D. Lucas</td>
<td>UMF</td>
<td>Gift</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>James K. and Kathy Vizanko</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Mertz Gilmore Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>ExxonMobil Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>Douglas Machine Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Niels W. Bodecker</td>
<td>UM</td>
<td>Gift</td>
<td>Libraries</td>
</tr>
<tr>
<td>Heidi L. and Matthew A. Mazzucchi</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Infineum USA LP</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Richard J. Frey</td>
<td>MMF</td>
<td>Gift/Pledge</td>
<td>Scholarships</td>
</tr>
<tr>
<td>Robert B. Henton Residuary Trust</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Minnesota Nursery Research Corporation</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Target Corporation</td>
<td>UMF</td>
<td>Gift</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Donna M. Spooner</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Boehringer Ingelheim Pharmaceuticals Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Pharmacy</td>
</tr>
<tr>
<td>Boehringer Ingelheim Vetmedica Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td>Ernest T. Baughman</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>James and Carol Cote</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts, Department of Intercollegiate Athletics, Pediatrics, Academic Health Center</td>
</tr>
<tr>
<td>Jerry Broeckert</td>
<td>UMF</td>
<td>Pledge</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Life Technologies</td>
<td>UM</td>
<td>Gift</td>
<td>University of Minnesota, Rochester</td>
</tr>
<tr>
<td>Stephen and Isabella Keating</td>
<td>UM</td>
<td>Pledge</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
</tbody>
</table>
### $25,000 - $50,000

<table>
<thead>
<tr>
<th>Donor/Trustee</th>
<th>Institution</th>
<th>Type/Pledge</th>
<th>Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wells Fargo Foundation</td>
<td>UMF</td>
<td>Gift/Pledge</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Marvin and Betty Borman</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts, Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Gerald and Sally Friedell</td>
<td>UMF</td>
<td>Gift</td>
<td>Law School</td>
</tr>
<tr>
<td>Mr. and Mrs. George W. Taylor Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Margaret H. and James E. Kelley Foundation Incorporated</td>
<td>UMF/UM/MMF</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum, School of Nursing, Psychiatry</td>
</tr>
<tr>
<td>James Earl</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>La Jean Roy Firminhac and John M. Firminhac</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Center for Computer-Assisted Legal Instruction</td>
<td>UMF</td>
<td>Gift</td>
<td>Law School</td>
</tr>
<tr>
<td>Daniel J. Haggerty</td>
<td>UM</td>
<td>Gift</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td>Information Storage Industry Consortium</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>John H. Kersey</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Deloitte Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>Carlson School of Management, Law School</td>
</tr>
<tr>
<td>George W. Taylor Charitable Trust</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>GE Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td>Institute of Technology, Law School</td>
</tr>
<tr>
<td>Delvina E. Wiik</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Northern Plains Potato Growers Association</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Harris A. Peterson</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Crookston</td>
</tr>
<tr>
<td>Dr. John N. and Mary Kay Dunne</td>
<td>UM</td>
<td>Gift</td>
<td>Weisman Art Museum</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts, Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Boston Scientific Foundation Incorporated</td>
<td>MMF</td>
<td>Gift</td>
<td>Academic Health Center</td>
</tr>
<tr>
<td>Katherine B. Andersen Fund-St. Paul Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Raptor Center</td>
</tr>
<tr>
<td>Kenneth R. Talle</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Phyllis B. Branin</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Rodney S. Wallace Revocable Trust</td>
<td>UMF</td>
<td>Pledge</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Steven W. Johnston</td>
<td>UMF</td>
<td>Gift/Pledge</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>J. Scott Nelson</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Gary F. Nelson</td>
<td>UMF</td>
<td>Gift</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Mark E. Rosheim</td>
<td>UM</td>
<td>Gift</td>
<td>Libraries</td>
</tr>
<tr>
<td>Ernst and Young Foundation</td>
<td>UMF</td>
<td>Gift/Pledge</td>
<td>Various Colleges</td>
</tr>
<tr>
<td>Meadowood Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Raptor Center, College of Continuing Education</td>
</tr>
<tr>
<td>John W. Lambros</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>Pledge</td>
<td>University of Minnesota, Morris</td>
</tr>
<tr>
<td>Ecolab Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Ronald L. and Janet A. Christenson</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>American Pancreatic Association</td>
<td>MMF</td>
<td>Gift</td>
<td>Surgery</td>
</tr>
<tr>
<td>Donation Range</td>
<td>Donor Name/Nature</td>
<td>Affiliation</td>
<td>Department/Program</td>
</tr>
<tr>
<td>---------------</td>
<td>------------------</td>
<td>-------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>$25,000 - $50,000</td>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Buuck Family Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Chris Kraft</td>
<td>MMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>Dr. Nathan E. and Elaine L. Ballou</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Dr. Stanley Maxeiner Jr. and Patricia Maxeiner</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Elmer and Eleanor Andersen Foundation</td>
<td>UMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>Honeywell Hometown Solutions</td>
<td>UMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>Mark S. Paller</td>
<td>MMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>National Institutes of Health</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Patricia A. Garofalo</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Paul R. Bohjanen</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Rachel Aslakson</td>
<td>MMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>Richard and Ellen Sandor Family Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Richard N. and Carol C. Flint</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Robert and Carolyn Flood Trust</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Robert J. and Elizabeth J. Kueppers</td>
<td>UMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>Roberta J. Anderson</td>
<td>UMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>Ruth Easton Fund of the Edelstein Family Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Ruth Mae Fleming Estate</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Steven Elertson and Cynthia Huntington</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Steven R. Gordon</td>
<td>MMF</td>
<td>Pledge</td>
<td></td>
</tr>
<tr>
<td>Thomas H. Curran</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>WEM Foundation</td>
<td>UMF/UM</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Eunice L. Dwan 1991 Irrevocable Trust</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Kenneth C. Glaser</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>C. Paul and Irene Venables Foundation</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Cima Labs Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Debra and Mark Wessels</td>
<td>UM</td>
<td>Gift</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Donation Range</th>
<th>Donor Name/Nature</th>
<th>Affiliation</th>
<th>Department/Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>$10,000 - $25,000</td>
<td>Rosslyn S. Kleeman</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Charles A. McMunn</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Farm Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Minnesota AFL-CIO</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Teddy Wong</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Allen R. Arvig</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Ameriprise Financial Services Incorporated</td>
<td>UMF/UM</td>
<td>Gift/Pledge</td>
<td></td>
</tr>
<tr>
<td>Microsoft Corporation</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Eunice L. Dwan 1991 Irrevocable Trust</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Kenneth C. Glaser</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>C. Paul and Irene Venables Foundation</td>
<td>MMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Cima Labs Incorporated</td>
<td>UMF</td>
<td>Gift</td>
<td></td>
</tr>
<tr>
<td>Debra and Mark Wessels</td>
<td>UM</td>
<td>Gift</td>
<td></td>
</tr>
</tbody>
</table>

17
<table>
<thead>
<tr>
<th>Amount</th>
<th>Type</th>
<th>University/Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>$10,000 - $25,000</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Dr. Charles L. Matsch</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Judi and Richard A. Huempfner</td>
<td>UMF</td>
<td>Medical School Administration, Schulze Diabetes Institute</td>
</tr>
<tr>
<td>Margaret A. Kirluk</td>
<td>MMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Stanley Smith Horticultural Trust</td>
<td>UM</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>SUBC Incorporated</td>
<td>MMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>The Hawley Family Foundation, Incorporated</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>The Minneapolis Foundation</td>
<td>MMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>The Scott Richards North Star Charitable Foundation</td>
<td>MMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>TheLadders.com Incorporated</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Whitney MacMillan 1969 Trust</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Otter Tail Power Company</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Southern Minnesota Municipal Power Agency</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Stone Pier Foundation</td>
<td>UMF/UM</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Golf for a Cure</td>
<td>MMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Anonymous</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Medica</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Crystal Lake Country Club Incorporated</td>
<td>MMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>R. C. Lilly Foundation</td>
<td>UMF/UM</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>The Toro Company</td>
<td>UM</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Alice M. O'Brien Foundation</td>
<td>MMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Bender Family Charitable Fund-Tulsa Community Foundation</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Calvin J. and Caroline K. Roetzel</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Dr. Earl M. Behning</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Dr. Krzysztof K. Burhardt and April L. Spas</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>M. and C. Berman Fund-Community Foundation National Capital Region</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Patricia Ronning Family Foundation</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>San Diego Foundation-Engel Fund</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Susan M. Cargill</td>
<td>UM</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Wayland E. Noland Foundation</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Cargill Incorporated</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Michael T. Mulligan</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Van Sloun Foundation</td>
<td>UMF/UM</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Muriel M. Orcutt Estate</td>
<td>UMF</td>
<td>College of Biological Sciences</td>
</tr>
<tr>
<td>Amount</td>
<td>Organization</td>
<td>Type</td>
</tr>
<tr>
<td>-----------------</td>
<td>---------------------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>$10,000 - $25,000</td>
<td>Sundet Foundation</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Power Play Club</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Haakon L. and Carol J. Andreasen</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Pfizer Foundation</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Chris J. and Leslie S. Neugent</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Kemps, LLC</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>National 4-H Council</td>
<td>UM</td>
</tr>
<tr>
<td></td>
<td>Robert J. Owens</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>The Luther Family Foundation</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Stephen W. Schondelmeyer</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Stanley S. Hubbard</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Snow Leopard Conservancy</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Augustine Family Foundation</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Duane Rost</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Edward W. and Cora L. Remus</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Anonymous</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Ecolab Foundation</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Sharon Stewart Reeves</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Mark Z. Jones II and Judith S. Jones</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Elliot S. Kaplan</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Gail N. Anderson</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>General Mills Incorporated</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Myron D. Hill</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Thomas F. Madison</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Ernest and Cathryn S. Kemble</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Lyle D. and Sharon J. Bighley</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Matthew K. Entenza and Lois E. Quam</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Melvin E. Davison</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Alchemist General Incorporated</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Arthur A. Anderson</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>B. Kristine and Robbin S. Johnson</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Barbara B. Franklin</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Bill and Katherine Fox Foundation</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Canterbury Park Minnesota Fund-MN</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Community Foundation</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Charles E. Lofgren</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>David and Louise Gartzke Family Fund-Fidelity</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>David L. and Katherine R. Dilcher</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Donn R. Armstrong</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Hans I. and Kathy Jorgensen</td>
<td>UMF</td>
</tr>
</tbody>
</table>

Gift/Pledge Details:
- College of Veterinary Medicine, Department of Intercollegiate Athletics, School of Dentistry
- Department of Intercollegiate Athletics
- University of Minnesota, Duluth
- Various Colleges
- Carlson School of Management
- Neurology
- 4H Foundation
- Law School
- Carlson School of Management
- University of Minnesota, Morris
- Carlson School of Management
- Carlson School of Management
- Carlson School of Management, Institute of Technology
- University of Minnesota, Morris
- College of Pharmacy
- Law School
- Minnesota Landscape Arboretum
- College of Pharmacy
- Carlson School of Management
- Carlson School of Management
- Carlson School of Management
- Bell Museum of Natural History
- Masonic Cancer Center
- College of Veterinary Medicine
- College of Veterinary Medicine
- College of Food, Agricultural and Natural Resource Sciences
- University of Minnesota, Duluth
- College of Biological Sciences
- Institute of Technology
- College of Veterinary Medicine
<table>
<thead>
<tr>
<th>Amount</th>
<th>Name and Description</th>
<th>Institution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>$10,000 - $25,000</td>
<td>Drs. Amy Jean and Philip N. Knorr</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td></td>
<td>Drs. George and Barbara G. Barany</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td></td>
<td>Drs. Philip N. and Amy Jean Knorr</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td></td>
<td>Edward Dayton Family Fund</td>
<td>Schulze Diabetes Institute</td>
</tr>
<tr>
<td></td>
<td>George Family Foundation</td>
<td>Humphrey Institute of Public Affairs</td>
</tr>
<tr>
<td></td>
<td>Gregory P. Joseph</td>
<td>Law School</td>
</tr>
<tr>
<td></td>
<td>Jane A. Starr</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td></td>
<td>Jean McGough Holten and John S. Holten</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td></td>
<td>Juji Hanada</td>
<td>Scholarships</td>
</tr>
<tr>
<td></td>
<td>Julie A. Ross</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td></td>
<td>June B. Hendrickson</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td></td>
<td>Karla E. Eastling</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td></td>
<td>Kenneth E. Tilsen</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td></td>
<td>Lang Family Foundation</td>
<td>Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td></td>
<td>Lee M. Espeland</td>
<td>Medicine</td>
</tr>
<tr>
<td></td>
<td>Leslie A. Grant</td>
<td>Scholarships</td>
</tr>
<tr>
<td></td>
<td>Litterman Family Foundation</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td></td>
<td>Margaret V. B. and C. Angus Wurtele</td>
<td>Weisman Art Museum, Minnesota Landscape Arboretum</td>
</tr>
<tr>
<td></td>
<td>Medtronic Incorporated</td>
<td>Surgery</td>
</tr>
<tr>
<td></td>
<td>Michael V. and Ann C. Ciresi Foundation</td>
<td>Law School</td>
</tr>
<tr>
<td></td>
<td>Midwest ISO</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td></td>
<td>National Pork Board</td>
<td>College of Veterinary Medicine</td>
</tr>
<tr>
<td></td>
<td>Patricia Simmons and Lester Wold</td>
<td>Weisman Art Museum</td>
</tr>
<tr>
<td></td>
<td>Peter Nordquist</td>
<td>University of Minnesota, Crookston</td>
</tr>
<tr>
<td></td>
<td>Robert P. Sands and Sally Glassberg Sands</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td></td>
<td>Robert W. Bruce</td>
<td>Orthopaedic Surgery</td>
</tr>
<tr>
<td></td>
<td>Rockler Jackson Family Foundation</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td></td>
<td>Sanofi-Aventis Pharmaceuticals Incorporated</td>
<td>College of Pharmacy</td>
</tr>
<tr>
<td></td>
<td>Simon K. Wong</td>
<td>Scholarships</td>
</tr>
<tr>
<td></td>
<td>Sit Investment Associates Foundation</td>
<td>Pediatrics</td>
</tr>
<tr>
<td></td>
<td>Stephen C. Daas</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td></td>
<td>Sticha Family Charitable Fund-Catholic Community Foundation</td>
<td>University of Minnesota, Morris</td>
</tr>
<tr>
<td></td>
<td>The Ben Miller Foundation</td>
<td>Neurology</td>
</tr>
<tr>
<td></td>
<td>The Institute for Basic and Applied Research in Surgery</td>
<td>Surgery</td>
</tr>
<tr>
<td></td>
<td>Thomson Reuters</td>
<td>Office of International Programs</td>
</tr>
<tr>
<td></td>
<td>U E S Incorporated</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td></td>
<td>UnitedHealthcare Services Incorporated</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Amount Range</td>
<td>Organization Name</td>
<td>Type</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------------</td>
<td>------</td>
</tr>
<tr>
<td>$10,000 - $25,000</td>
<td>Wells Fargo Bank NA</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Whitney ARCEE Foundation</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>William E. Pedersen Jr.</td>
<td>UMF Gift</td>
</tr>
<tr>
<td>$5,000 - $10,000</td>
<td>Edward M. Cohen</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Benjamin F. Nelson Estate</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Irmagene S. Stark Estate</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>David K. and Beverly B. Wickstrom</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>WIPFLi Foundation Incorporated</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Curtis A. and Marian A. Sampson</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Elsa M. Peterson Estate</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>CHR Hansen Incorporated</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Huvepharma Incorporated</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Dr. Karl E. and Kristin A. Bennett</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Northwestern Mutual Foundation</td>
<td>UMF Gift/Pledge</td>
</tr>
<tr>
<td></td>
<td>Christine H. Moen</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Drs. Jack and Marty Rossmann</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Lowell F. Schwab</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Optum</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Whitney and Elizabeth MacMillan Foundation</td>
<td>MMF Gift</td>
</tr>
<tr>
<td></td>
<td>IBM International Foundation</td>
<td>UMF Pledge</td>
</tr>
<tr>
<td></td>
<td>Medtronic Foundation</td>
<td>UMF/UM Pledge</td>
</tr>
<tr>
<td></td>
<td>Bon-Ton Stores Incorporated</td>
<td>MMF Gift</td>
</tr>
<tr>
<td></td>
<td>Community Health Charities Minnesota</td>
<td>MMF Gift</td>
</tr>
<tr>
<td></td>
<td>RespirTech</td>
<td>MMF Gift</td>
</tr>
<tr>
<td></td>
<td>Bens Buddies Incorporated</td>
<td>MMF Gift</td>
</tr>
<tr>
<td></td>
<td>Daniel P. and Allison Connally</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>David D. and Martha E. Kadue</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Gordon L. Alexander</td>
<td>MMF Gift</td>
</tr>
<tr>
<td></td>
<td>Mylan Radulovich</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Segetis Incorporated</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>The National Potato Promotion Board</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Humanscale Corporation</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Wound Ostomy and Continence Nurses Society Foundation</td>
<td>UMF Gift</td>
</tr>
<tr>
<td></td>
<td>Data Card Corporation</td>
<td>UM Gift</td>
</tr>
<tr>
<td>Amount</td>
<td>Name, Organization</td>
<td>Type</td>
</tr>
<tr>
<td>-------------</td>
<td>----------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>$5,000 - $10,000</td>
<td>Dr. Catherine B. Guisan and Stephen J. Dickinson</td>
<td>Gift</td>
</tr>
<tr>
<td></td>
<td>Henry Company</td>
<td>UM</td>
</tr>
<tr>
<td></td>
<td>Mildred L. Skogmo</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>St. Jude Medical Incorporated</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>BNP Paribas</td>
<td>UM</td>
</tr>
<tr>
<td></td>
<td>Gopher Golf Booster Club</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Anonymous</td>
<td>UMF/UM</td>
</tr>
<tr>
<td></td>
<td>Mary Lee Dayton</td>
<td>UMF/UM</td>
</tr>
<tr>
<td></td>
<td>Thomas R. Hood</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Curtis A. Nelson and Annette L. Seppanen</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Siobahn M. Morgan</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Field Solutions LLC</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Samuel J. Beard</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Aloha Landscaping Incorporated</td>
<td>UM</td>
</tr>
<tr>
<td></td>
<td>Wendy J. Wildung</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Anna W. Ordway and Samuel H. Ordway Jr. Foundation Inc.</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Dorothy J. Thompson</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Drs. Edward J. and Arlene E. Carney</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Gordon and Margaret Bailey Foundation</td>
<td>UM</td>
</tr>
<tr>
<td></td>
<td>K. K. Burhardt and A. L. Spas Fund-Ayco Charitable Foundation</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Lyndel and Blaine King Fund-Fidelity Charitable Gift Fund</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Recombinetics Incorporated</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Teva Neuroscience Incorporated</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Minnesota Landscape Arboretum Auxiliary</td>
<td>UM</td>
</tr>
<tr>
<td></td>
<td>J. Kimball Whitney</td>
<td>UM</td>
</tr>
<tr>
<td></td>
<td>John G. Mulrooney</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Drs. Michelle Bergsrud and Timothy Bergstedt</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Catherine R. and Richard L. Tate</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Old Dutch Foods Incorporated</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Dr. Clifford D. and Carol Stiles</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Suzanne L. and Matthew A. Lykken</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>David J. Steingart</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>James B. Toeges</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>Peter M. Grant</td>
<td>MMF</td>
</tr>
<tr>
<td></td>
<td>Kathleen K. and Joseph R. Mucha</td>
<td>UMF</td>
</tr>
<tr>
<td></td>
<td>James H. and Mary B. Hammill</td>
<td>UMF</td>
</tr>
<tr>
<td>Name</td>
<td>Type</td>
<td>Gift/Endowment</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>-----------</td>
<td>------------------</td>
</tr>
<tr>
<td>Marion S. Moulton</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Robert K. Spinner</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Steven M. Rothschild</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>3M Company</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Ann C. Brey</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Anne Flaxman Geisser</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Anonymous</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Apollo Center</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Avantstar Incorporated</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Barbara J. and Robert L. Peterson</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Bernard P. Aldrich</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Best Buy Purchasing LLC</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Bradley A. and Arlene T. Forrest</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Carl E. Norman</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Christopher J. Chaput</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Christopher R. Hansen</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Coleman Family Foundation Incorporated</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>CVS Charitable Trust Incorporated</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Cynthia A. Kennedy</td>
<td>MMF</td>
<td>Pledge</td>
</tr>
<tr>
<td>Don and Lorraine Freeberg Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dorothy T. Kuether</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Douglas P. Kruhoeffer</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. Edward J. Cushing</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. George H. Winn</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. James B. Van Alstine</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. James W. Towne</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. Julianne H. and Prof. Stephen Prager</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. Mary E. Dempsey</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. Michael J. Szurek and Laura OBrien</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. Robert K. Anderson</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Dr. Wook J. Seong</td>
<td>UMF</td>
<td>Pledge</td>
</tr>
<tr>
<td>DTA Foundation Incorporated</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Estee Lauder Incorporated</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Frank and Toby Berman Family Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>G. David and Catherine E. Tilman</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Gary M. and Londa Tushie</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>George J. Tichy II</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Georgia V. Alstad</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Gerald S. and Judy C. Duffy</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Gus and Ann Chafoulias Donor Advised Fund</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Harper Family Foundation</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Harvey A. Bartz</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Name</td>
<td>Type</td>
<td>Gift or Pledge</td>
</tr>
<tr>
<td>-----------------------------------------------------------</td>
<td>---------</td>
<td>----------------</td>
</tr>
<tr>
<td>Helen E. Lindsay</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Henry E. Goodhue</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Hugh and Kelly Bonner</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>I V Foundation</td>
<td>UM</td>
<td>Gift</td>
</tr>
<tr>
<td>James B. and Barbara W. Serrin</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>James E. Cabak</td>
<td>UMF</td>
<td>Pledge</td>
</tr>
<tr>
<td>James P. Devere Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Jay D. Nibbe</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Joan T. Smith</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>John C. Goetz</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Joseph and Sally Handleman Charitable Foundation Trust A</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Louann and Scott Carpenter Fund-Minneapolis Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Lynn A. Nagorske</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Lynn M. Abrahamsen</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Malt-O-Meal Company</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Margaret A. Kirick</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Marie C. Johnson Estate</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Marilyn A. Beddor</td>
<td>UM</td>
<td>Gift</td>
</tr>
<tr>
<td>Mark F. Steen</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Mark O. West</td>
<td>UM</td>
<td>Gift</td>
</tr>
<tr>
<td>Matthew J. and Heather M. Clark</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Maverick Software Consulting</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Meghann A. Harker</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Mitch Richter</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>National Student Leadership Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Old Mill Honey Company LLC</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Patrice A. and Gerald P. Halbach</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Patrick T. O'Connell</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Paul Baran Fund-Fidelity Charitable Gift Fund</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Peter F. Pierce</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Randall O. Card</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Rhonda Hovan</td>
<td>MMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Richard N. and Carol C. Flint Fund-Minneapolis Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Riley Family Fund-American Center for Philanthropy</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Robert J. Knoll</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Robert J. Schroeder</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Ronald J. and Janet J. Schutz</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Schoenwetter Fund-St. Paul Foundation</td>
<td>UMF</td>
<td>Gift</td>
</tr>
<tr>
<td>Scott C. Bullock</td>
<td>MMF</td>
<td>Pledge</td>
</tr>
</tbody>
</table>
### $5,000 - $10,000

<table>
<thead>
<tr>
<th>Name</th>
<th>Type</th>
<th>Gift</th>
<th>Department/Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shari L. Ballard</td>
<td>UMF</td>
<td>Gift</td>
<td>Scholarships</td>
</tr>
<tr>
<td>Speakout Incorporated</td>
<td>MMF</td>
<td>Gift</td>
<td>Family Medicine and Community Health</td>
</tr>
<tr>
<td>Steven J. Lambros</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Susan E. Meyer and Daniel W. Shogren</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>Terence R. and Carol F. McTigue</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>The Emily Program</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>Theodore R. and Shirley Goldman</td>
<td>UMF</td>
<td>Gift</td>
<td>Academic Health Center</td>
</tr>
<tr>
<td>Thomas Bouchard Jr. and Pauline Bouchard</td>
<td>UMF</td>
<td>Gift</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Tony J. and Elizabeth A. Tanke</td>
<td>UMF</td>
<td>Gift</td>
<td>Law School</td>
</tr>
<tr>
<td>United Health Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>Carlson School of Management</td>
</tr>
<tr>
<td>Virginia L. Erickson</td>
<td>MMF</td>
<td>Gift</td>
<td>Masonic Cancer Center</td>
</tr>
<tr>
<td>Walter L. Anderson</td>
<td>UMF</td>
<td>Gift</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>Wildey H. Mitchell Family Foundation</td>
<td>UMF</td>
<td>Gift</td>
<td>University of Minnesota, Duluth</td>
</tr>
<tr>
<td>William A. Hodder</td>
<td>MMF</td>
<td>Gift</td>
<td>Urologic Surgery</td>
</tr>
</tbody>
</table>
Board of Regents  February 12, 2010

**Agenda Item:** Board of Regents Policy: Reservation and Delegation of Authority

- review
- review/action
- action
- discussion

**Presenters:** Regent Clyde Allen
General Counsel Mark Rotenberg

**Purpose:**

- policy
- background/context
- oversight
- strategic positioning

To act on proposed amendments to Board of Regents Policy: *Reservation and Delegation of Authority*.

**Outline of Key Points/Policy Issues**

Proposed amendments include the following changes:

- reserving the Board's authority regarding the use, alteration, or removal of its corporate name by any University entity or by any non-University person or entity;
- reserving the Board's authority to revoke permission to use its corporate name;
- reserving the Board's authority to approve specified commercial transactions or matters not otherwise subject to Board approval;
- directing the president to notify the Board of commercial transactions or matters that significantly involve the authority and role of the Board;
- reserving the Board's authority to name/revoke names of University buildings and other assets; and
- increasing the threshold for approval of individual purchases of goods and services from $250,000 to $1,000,000.

The following additional changes, shown in the policy in bold text, have been made since the Board’s review in December 2009:

- reserving the Board's authority to name colleges, academic institutes, programs, and courses of study;
- reserving the Board’s authority to approve any modifications to the central reserves budget and any expenditures from the central reserves general contingency account; and
- reserving the Board's authority to take final action on environmental reviews initiated by the administration with respect to historic resources.

**Background Information:**

Board of Regents Policy: *Reservation and Delegation of Authority* was adopted on April 5, 2001, last amended on July 9, 2008, and reviewed by the Board in December 2009.
RESERVATION AND DELEGATION OF AUTHORITY

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 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. 5. 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) Senior Vice President for Academic Affairs and Provost
(b) Senior Vice President for Health Sciences
(c) Senior Vice President, for System Academic Administration
(d) Chancellor
(e) Vice President
(f) Provost
(g) General Counsel
(h) Librarian
(i) Director of Audits
(j) Dean
(k) Athletic Director, Twin Cities campus
(l) 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 individual appointed under subd. 1 of this section, except the director of audits.

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 RECOGNITION NAMINGS OF UNIVERSITY BUILDINGS AND OTHER ASSETS.

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, hire investment advisers, and approve policies and plans for investment income distribution.

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 $250,000, 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 $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 $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 director of audits; 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 individual 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 DIRECTOR OF AUDITS.

The secretary, treasurer, general counsel, and director of audits 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. 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. 2. 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.

Agenda Item: Board of Regents Policy: Founding Date, Corporate Name and Seal, and University Marks

Presenters: Vice President Karen Himle
General Counsel Mark Rotenberg

Purpose:

☐ policy  ☐ background/context  ☐ oversight  ☐ strategic positioning

To act on proposed amendments to Board of Regents Policy: Founding Date, Corporate Name and Seal, and University Marks.

Outline of Key Points/Policy Issues:

- The proposed amendments reserve the authority of the Board:
  - to approve or revoke use of the corporate name by any non-University person or entity;
  - to approve removal of the corporate name from the name of any campus, college, school, division, or unit; and
  - to approve use of the corporate name in a manner other than that specified in administrative policy.
- The policy also has been reformatted and edited to conform to the style of Board of Regents policies.

Background Information:

The policy was adopted on January 14, 1994, was last amended on December 8, 2006, and was before the Board for review in December 2009.

President's Recommendation for Action:

The President recommends adoption of proposed amendments to Board of Regents Policy: Founding Date, Corporate Name and Seal, and University Marks.
SECTION I. FOUNDING DATE.

Subd. 1. Founding Date. The Minnesota Territorial Laws of 1851, Chapter 3 (Laws), establish the University of Minnesota (University), vest its government in a Board of Regents (Board), and constitute the charter under which the University is governed. The Laws became effective February 25, 1851, which shall be the founding date of the University.

SECTION II. CORPORATE NAME.

Subd. 2. Corporate Name Designation. In accordance with the Laws and as perpetuated in Article XIII, Sec. 3 of the State Constitution, this corporate body shall be known and designated as Regents of the University of Minnesota. All its business shall be carried on and written instruments shall be executed in this corporate name by its authorized officers and agents and authenticated, when necessary, by affixing the corporate seal (seal) bearing the name Regents of the University of Minnesota.

Subd. 2. Reservation of Authority. The Board reserves to itself authority to approve:

(a) Use of, and revocation of the use of, the corporate name or any abbreviated name, including University of Minnesota, by any non-University person or entity as part of its name or in any other manner that indicates or implies an authorized relationship with the University.

(b) Removal of the corporate name or any abbreviated name, including University of Minnesota, from the name of any campus, college, school, division, or unit.

(c) Use of the corporate name, including University of Minnesota, in a manner other than that prescribed in administrative policy.

Subd. 3. Gifts, Bequests, or Devises. All gifts, bequests, or devises (transfers) made in trust or otherwise in the name of the University or in the name of any school,
college, department, or other unit of the University shall be transfers to the Regents of the University of Minnesota. The Regents of the University of Minnesota has the authority to manage all transfers intended for the corporation.

Use of the corporate name or any abbreviated name, including University of Minnesota, by any entity other than the University as part of its name or in any other manner that indicates or implies an authorized relationship between it and the University shall require the prior written approval of the president or delegate.

SECTION III. CORPORATE SEAL AND DELEGATION OF AUTHORITY.

Subd. 3. Corporate Seal. The Board adopted the current seal of the Regents of the University of Minnesota on May 9, 1939.

(a) Official Use – The embossed seal is the corporate mark of identification signifying authenticity of contracts, agreements, and other documents executed in the name of the corporation, and its use is limited to that purpose. The instrument of the seal and any replicas shall be in the custody of the corporate secretary of the University.

(b) Use in Reproductions – In its unofficial, unembossed, reproduced form the seal may be used for purposes authorized by the president or delegate in the following manner:

(i) Inside the University in accordance with standards authorized by the corporate secretary of the University and maintained by the president or delegate.

(ii) Outside the University, under a license agreement with the University, subject to standards authorized by the corporate secretary of the University and maintained by the president or delegate.

(c) Standards – Standards regarding use and reproduction of the seal are available from the corporate secretary of the University.
SECTION IV. UNIVERSITY MARKS.

Subd. 4. University Marks. The University shall maintain a consistent visual identity system, including name, marks, and logos, that (a) reinforces and protects the University's identity; (b) distinguishes the University from other institutions; and (c) reflects the University's traditions and heritage.

SECTION V. IMPLEMENTATION.

Subd. 5. Implementation. The president or delegate shall maintain administrative policies and procedures to implement this policy.
Board of Regents    February 12, 2010

**Agenda Item:** Board of Regents Policy: Legal Review of Contracts and Transactions

- review
- review/action
- action
- discussion

**Presenters:** General Counsel Mark Rotenberg

**Purpose:**
- policy
- background/context
- oversight
- strategic positioning

**Outline of Key Points/Policy Issues:**

This policy has been amended to require the General Counsel to maintain a framework of control to “ensure presentation to the Board of all contracts and transactions that require Board notification or specific Board approval.” The change is intended, along with other changes in Board policy, to assure that the most important and significant contracts and transactions are presented to the Board. There are other minor clarifying edits to the policy.

**Background Information:**

Legal review of contracts and transactions has been required by Board policy since 1998. It is intended to provide appropriate review of contracts and transactions by the General Counsel as part of the University’s framework of internal control.

**President’s Recommendation for Action:**

The President recommends adoption of proposed amendments to Board of Regents Policy: *Legal Review of Contracts and Transactions*. 
LEGAL REVIEW OF CONTRACTS AND TRANSACTIONS

This policy governs all contracts made on behalf of the Board of Regents (Board) of the University of Minnesota (University).

SECTION I. DEFINITIONS.

Subd. 1. Contract. Contract shall mean any written commercial contract or other agreement that creates a binding obligation upon the University.

Subd. 2. Transaction. Transaction shall mean any agreement for which a contract will be prepared that has not yet been reduced to final written form but whose essential business terms have been approved by the affected University unit.

SECTION II. INTERNAL CONTROL.

The general counsel shall:

(a) Create and maintain for the University an appropriate framework of internal control for (1) to evaluating and protecting the University’s interests in the execution of contracts and (2) to ensure presentation to the Board of all contracts and transactions that require Board notification or specific Board approval.

(b) Develop appropriate procedures and forms, in consultation with affected University units, to implement this policy and achieve the objectives as stated in Board of Regents policy: Internal Controls. The procedures and forms shall be designed so that:

(1) contracts comply with applicable laws and regulations and University policies and standards;

(2) contracts are properly executed by a person with delegated authority;
(3) significant or unique legal risks are brought to the attention of the person authorized to execute the contract; and

(4) contractual obligations of the University are undertaken using an appropriate form.

SECTION III. CONTRACTS AND TRANSACTIONS REQUIRING BOARD APPROVAL.

All contracts and transactions that are subject to specific approval by the Board shall be reviewed first by the general counsel to ensure that:

(a) the contract or transaction summary presented to the Board accurately reflects the terms agreed to by the University;

(b) the contract is or, in cases where only a transaction summary is presented, will be prepared for execution by an authorized University official; and

(c) the contract is or, in cases where only a transaction summary is presented, will be in compliance with applicable laws, regulations, and University Board and administrative policies.

SECTION IV. EXEMPTION.

The general counsel may exempt from individualized legal review:

(a) contracts that are prepared on forms developed by the general counsel;

(b) contracts that are prepared on forms developed by others that have been approved by the general counsel; and

(c) contracts that do not present material risks because, prior to their execution, they have been evaluated by the president or delegate using procedures, instructions, and checklists provided by the general counsel or otherwise meet criteria for exemption established by the general counsel.
Board of Regents

February 12, 2010

Agenda Item: Board of Regents Policy: Individual Business or Financial Conflicts of Interest

☑ review  ☐ review/action  ☐ action  ☑ discussion

Presenters: Vice President/Chief of Staff Kathryn Brown
Mark Rotenberg, General Counsel

Purpose:

☑ policy  ☐ background/context  ☐ oversight  ☐ strategic positioning

To review the proposed Board of Regents Policy: Individual Business or Financial Conflicts of Interest, which sets forth the guiding principles and ethical standards governing individual conflicts of interest at the University of Minnesota.

Outline of Key Points/Policy Issues:

The president recommends that the proposed Board of Regents Policy: Individual Conflicts of Interest supersede the existing Board of Regents Policy: Individual Business or Financial Conflicts of Interest. A significant number of the policy changes are editorial and structural in nature, and intended to make the policy more clear and up-to-date. Other policy changes are substantive in nature, and the presentation will provide an overview of those changes, including the following:

1. The scope more specifically focuses on individuals whose relationships with business entities relate to their University expertise and responsibilities.
2. The guiding principles emphasize that the integrity of the University’s research and discovery, teaching and learning, and outreach and public service activities is paramount.
3. The definition of covered individuals is expanded to include all faculty and staff as well as other individuals authorized to act on behalf of the University.
4. The definition of family member is expanded to include any other family member who the individual reasonably knows may benefit personally from actions taken by the covered individual on behalf of the University.
5. The definition of associated entity is removed and definitions of business entity, business interest, and financial interest are added.
6. A new oversight section is added to address more specific internal reporting, disclosure, and compliance requirements, including new reference to conflict of interest management plans.
7. The delegation of authority section has been expanded to identify specific provisions that will be addressed in administrative policies and procedures.
**Background Information:**

Over the past several months, the University administration has been working to update the Administrative Policy: *Implementing the Individual Business or Financial Conflicts of Interest Board of Regents Policy*, and engaging deans, faculty, staff, and others in a broad consultation process to seek their input on a policy draft, including posting the draft policy online beyond the usual 30-day open comment period. While work on the administrative policy continues, the administration decided to simultaneously review the Board of Regents Policy: *Individual Business or Financial Conflicts of Interest* to ensure that the Board of Regents policy is up-to-date and that the new administrative policy, when adopted, is fully aligned with the updated Board of Regents guiding principles and ethical standards.
INDIVIDUAL CONFLICTS OF INTEREST

SECTION I. SCOPE.

This policy governs individual conflicts of interest and applies to covered individuals whose relationships with business entities relate to their University of Minnesota (University) expertise and responsibilities.

SECTION II. GUIDING PRINCIPLES.

The following principles shall assist covered individuals and the University in addressing individual conflicts of interest:

(a) The integrity of the University’s research and discovery, teaching and learning, and outreach and public service activities is paramount.

(b) The University encourages its faculty and staff to engage in relationships with business entities to further the University’s mission while acknowledging that inherent in these relationships is the potential for professional judgment to be influenced by the existence of such relationships and result in personal gain.

(c) The University is committed to ensuring that relationships between its faculty and staff and business entities are transparent, grounded in objectivity, and do not improperly influence covered individuals’ professional judgment, exercise of University responsibilities, or performance of University-related activities.

SECTION III. DEFINITIONS.

Subd. 1. Covered Individuals. Covered individuals shall mean: (a) faculty and staff; (b) individuals with responsibility for the design, performance, or reporting of University research; and (c) other individuals authorized to act on behalf of the University to fulfill its research and discovery, teaching and learning, and outreach and public service mission.

Subd. 2. Individual Conflict of Interest. Individual conflict of interest shall mean a relationship between a covered individual’s private business or financial interests, or those of the covered individual’s family members, and the covered individual’s expertise and
responsibilities such that an independent observer might reasonably question whether the individual's objectivity in the performance of University responsibilities could be compromised by considerations of personal gain.

**Subd. 3. Business Entity.** *Business entity* shall mean any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other nongovernmental legal entity organized for profit, nonprofit, or charitable purposes.

**Subd. 4. Business Interest.** *Business interest* shall mean holding any executive position in, or membership on a board of, a business entity whether or not such activities are compensated.

**Subd. 5. Financial Interest.** *Financial interest* shall mean anything of monetary value, including, but not limited to: (a) an interest in a business entity consisting of any stock, stock option, or similar equity interest in such business entity (excluding any interest arising solely because the investment is in a pension, mutual fund, or other institutional investment fund over which the employee does not exercise control) or (b) receipt of, or the right or expectation to receive, any income, such as a consulting fee, honoraria, salary, allowance, royalty, or any other form of compensation.

**Subd. 6. Family Member.** *Family member* shall mean the covered individual’s spouse or domestic partner, dependent children, and any other family member whom the covered individual reasonably knows may benefit personally from actions taken by the covered individual on behalf of the University.

**SECTION IV. OVERSIGHT.**

**Subd. 1. Internal Reporting.** As required by administrative policy, covered individuals: (a) shall report annually to the University any business or financial interests and relationships with business entities, and the income earned from those relationships, that relate to their University expertise and responsibilities; and (b) may be required to report to the University between annual reporting periods any substantial changes to their business or financial interests and relationships with business entities, and the income earned from those relationships, that relate to their University expertise and responsibilities.

**Subd. 2. Disclosure.** To ensure transparency, covered individuals shall disclose conflicts of interest as directed by University conflict of interest management plans.
Subd. 3. Compliance. Covered individuals may not engage in University-related activities in which there is a conflict of interest except in accordance with the terms of a University conflict of interest management plan. Covered individuals who do not comply with internal reporting requirements or conflict of interest management plans may be subject to disciplinary action, consistent with applicable University policies and procedures.

SECTION V. DELEGATION OF AUTHORITY.

The president or delegate shall maintain:

(a) a process to identify and manage individual conflicts of interest of covered individuals; and

(b) administrative policies and procedures to implement this policy, including provisions to:

(1) maintain a University review body or bodies to determine whether individual conflicts of interest exist;
(2) establish and monitor conflict of interest management plans to manage, reduce, or eliminate conflicts;
(3) ensure that the policies and procedures established for identifying and addressing individual conflicts of interest conform to federal regulations and state law related to conflict of interest;
(4) define and differentiate responsibilities for covered individuals to fulfill the principles set forth in this policy;
(5) identify and prohibit activities that cause or may cause reasonable doubt concerning the integrity of the University’s relationships with business entities;
(6) promote the integrity of covered individuals’ consulting relationships with business entities;
(7) govern the active involvement of covered individuals in business entity sponsored events and activities; and
(8) establish limits on the acceptance of services, products, benefits, and gifts provided by business entities to covered individuals and University units.
Board of Regents

February 12, 2010

Agenda Item: Commercialization of Technology Report

☐ review  ☐ review/action  ☐ action  ☒ discussion

Presenters: Vice President Timothy Mulcahy
Executive Director Jay Schrankler

Purpose:

☐ policy  ☒ background/context  ☐ oversight  ☐ strategic positioning

To provide an update on the Office for Technology Commercialization’s (OTC) recent performance and the investment return to the University (both in revenue and other value-added activities) as well as recent benchmark results on key commercialization-related and conflict of interest policies with peer research institutions.

Outline of Key Points/Policy Issues:

• Discuss OTC alignment with University Strategies and Key Performance Indicators
• Review highlights of OTC’s transformation
• Demonstrate value delivered to the University of Minnesota
• Show how the University of Minnesota performs against peer institutions in the area of commercialization policies
• Policy Implication: Recommend potential actions/ideas to further improve the University’s commercialization competitiveness through effective policy optimization

Background Information:

During these challenging economic times, it is important to scrutinize University investments and revenue sources and identify ways to retain and increase revenue generated through the use of University resources -- as well as to ensure University of Minnesota policies that affect University revenue capture are not grossly misaligned with peer research institutions. Policy most relevant to this discussion is Board of Regents Policy: Commercialization of Intellectual Property Rights at http://www1.umn.edu/regents/policies/academic/Commer_of_Intell_Prop.pdf.

46
• OTC alignment with U Strategies and Key Performance Indicators
• Review the highlights of OTC’s transformation
• Demonstrate value delivered to the U of M
• Show how the U of M stacks up against peer institutions in the area of commercialization policies
• Recommend potential actions/ideas to further improve the U’s commercialization competitiveness through effective policy optimization
# U Strategies and Key Indicators: Research

<table>
<thead>
<tr>
<th>Goal</th>
<th>Key Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Breakthrough Research</strong> – Explore new ideas and breakthrough discoveries that address the critical problems and needs of the state, nation, and world.</td>
<td>Highly cited research publications</td>
</tr>
<tr>
<td><strong>Foster an environment of creativity that encourages evolution of dynamic fields of inquiry</strong></td>
<td>National academy members and other faculty awards</td>
</tr>
<tr>
<td><strong>Develop innovative strategies to accelerate the efficient and effective transfer of knowledge for the public good</strong></td>
<td>Major research awards, research center awards and centers of excellence</td>
</tr>
<tr>
<td><strong>Outstanding Organization</strong> – Be responsible stewards of resources, focused on service, driven by performance, and known as the best among peers.</td>
<td>Research expenditures and competitive ranking</td>
</tr>
<tr>
<td><strong>Foster peer-leading research competitiveness, productivity, and impact</strong></td>
<td><strong>Technology disclosures, licenses and startups</strong></td>
</tr>
<tr>
<td></td>
<td>Research proposals and awards processing</td>
</tr>
<tr>
<td></td>
<td><strong>Technology commercialization agreements</strong></td>
</tr>
<tr>
<td></td>
<td>Research space productivity</td>
</tr>
</tbody>
</table>

**University of Minnesota**

*Driven to Discover®*

Office for Technology Commercialization
To translate University of Minnesota research into new products and services that provide growth opportunities for our licensees, benefit the public good, improve the quality of life, and generate revenue to support the University's research and education goals.
OTC: Structured to Run Like a Business

Office for Technology Commercialization

Support Functions

• Strategic Account Management & Compliance
• Finance/Office Management

Business Units

• Life Sciences
• Engineering & Physical Sciences
• Digital Technologies
• Venture Center
• Agriculture/Horticulture

OTC Operational Innovations

• Internal business units (e.g. software technologies)
• Proven industry based decision making/investment process
• Fast track opportunity licenses
• Express Licenses
• CEO in Residence Program
• Development of an OTC commercialization fund through gifting

Major Entrepreneurial Initiatives

• Pharmaceuticals: Enable key compounds to reach higher value inflection points
• Type 1 Diabetes: Follow through on Schulze Diabetes Center mission: Translating research into a cure
• Biomarkers: Develop synergy between interdisciplinary groups working in the field of biomarkers
Office Transformation & Evolution: Top Talent in Place, Process Improvements Taking Effect, Poised for New License Growth

**Phase I: Transition**
- 2nd Half FY 2007
  - Upgraded talent
  - Organized to run like a business
  - Formed Compliance/Contracts F(x)s

**Phase II: Execution & Incremental Growth**
- Beginning FY 2009
  - Filling pipeline with higher value patents
  - Increasing value of licensing deals
  - ID & enforcement of non-compliance
  - Improving responsiveness to faculty
  - Increasing start-up company deal flow

**Phase III: Step-Out Growth**
- FY 2013
  - Strong patents issuing
  - Royalty stream increasing
  - Phase II licenses maturing into larger royalty streams
  - Reduced expenses from non-performing licenses

- FY 2017 & Beyond

---

Office for Technology Commercialization
Stage Gate Process: ‘Moving technologies from lab to license’
An example of OTC incorporating successful industry-based processes

Stage 1
• New Idea/ Possible Invention Received

Stage 2
• Develop Business Case

Stage 3
• Perform Financial Analysis, Create Marketing Strategy including detailed ‘voice of the customer’

Stage 4
• Contact Prospective Licensees
• Or initiate start-up formation

Stage 5
• Negotiate business & legal terms

Stage 6
• Close Deal

File Provisional Patent
File Worldwide Patents

Note: Size of funnel qualitatively represents number of technologies in each stage.
U of M’s operational and business models have attracted the attention of Leading Institutions

- Michigan State University
- WARF (Wisconsin Alumni Research Foundation)
- The University of Arizona
- UC Davis
- University of the Philippines
- Cornell University
- The University of North Dakota
- University of Nebraska
- University of Oslo
- Osaka University
- University of Minnesota

Office for Technology Commercialization
## Recent ventures initiated in OTC: Focus on quality vs. quantity

<table>
<thead>
<tr>
<th>Company</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Orasi Medical</td>
<td>Developing technology to measure the effect of neurological treatments and track the progression of neurological disorders</td>
</tr>
<tr>
<td>Medication Management Systems, Inc.</td>
<td>Software system to help manage patients taking multiple drugs</td>
</tr>
<tr>
<td>AXTIR</td>
<td>Averting workers from danger</td>
</tr>
<tr>
<td>VitalMedix</td>
<td>Developing Products to Sustain Life</td>
</tr>
<tr>
<td>Macular Regeneration Technologies</td>
<td>Developing technology to treat macular degeneration (the leading cause of blindness in people over the age of 50)</td>
</tr>
<tr>
<td>Miromatrix Medical Inc.</td>
<td>Miromatrix Medical Inc.: Holding the promise of therapy and cure through regenerative medicine (Doris Taylor)</td>
</tr>
<tr>
<td>BIOCEE</td>
<td>A Minneapolis based, industrial biotechnology company</td>
</tr>
<tr>
<td>Hypersonic</td>
<td>Minnesota’s first rural nanotechnology company</td>
</tr>
<tr>
<td>Hennepin Life Sciences</td>
<td>Understanding that Mother Nature knows what she’s doing.</td>
</tr>
<tr>
<td>R8Scan Corp</td>
<td>Dedicated to developing unique single cell tracking technology</td>
</tr>
</tbody>
</table>
Recent financial performance indicate changes are having their desired impact — OTC is outperforming key market indicators.

<table>
<thead>
<tr>
<th>Stock Market Indices</th>
<th>July 3, 2008</th>
<th>June 30, 2009</th>
<th>Δ V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dow</td>
<td>11,288</td>
<td>8447</td>
<td>(25%)</td>
</tr>
<tr>
<td>S&amp;P</td>
<td>1263</td>
<td>919</td>
<td>(27%)</td>
</tr>
<tr>
<td>NASDAQ</td>
<td>2245</td>
<td>1835</td>
<td>(18%)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OTC</th>
<th>FY 2008</th>
<th>FY 2009</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenue (total)</td>
<td>$85M</td>
<td>$92M</td>
<td>+8%</td>
</tr>
<tr>
<td>Revenue (without Ziagen)</td>
<td>$7.8M</td>
<td>$8.67M</td>
<td>+11.1%</td>
</tr>
<tr>
<td>Disclosures</td>
<td>217</td>
<td>244</td>
<td>+12%</td>
</tr>
<tr>
<td>New Patents Filed</td>
<td>52</td>
<td>65</td>
<td>+25%</td>
</tr>
</tbody>
</table>
Adding Value Beyond Technology Transfer

- **Agreement negotiation**
  - Spring Point Project
  - Siemens Master Agreement
  - Dow Master Agreement

- **Business Plan Development**

- **Securing Research Agreements** (partnering with SPA)
  - CISCO-Planetary Skin Institute ($3.2M)
  - Pfizer Animal Health (>$300k)
  - AMS ($340k)
Perceptions of U of MN tech transfer are changing for the better

“Kudos to University of Minnesota tech transfer. Under Jay Schrankler and Doug Johnson, the school's tech transfer program has made enormous strides. The Office of Technology Commercialization has professionalized the process, hiring experienced technology managers to evaluate potential technologies from professors and students to determine if they should be licensed or spun out.”
- Dec. 15, 2009

“Personally, I think they're on the right track. It's only a matter of time before they become a premier tech-transfer organization.”
(Pete Bianco)
- Dec. 18, 2009

“Under his [Mulcahy] tenure, the U has revamped its once-moribund technology transfer office, boosting licensing income and spinning off six start-ups since 2006.”
- Sept. 27, 2009
Summary: What’s Working

• Right people in place
• Robust processes in place
• Delivering positive financial results
• Non-Ziagen revenues growing
• Creating high quality, new companies
• Adding value to the U beyond tech transfer
• Improving public image
Policy-related challenges at the U of M

• Funding of research
  ▪ University is not treated as a sponsor when funding research (i.e., U is not allowed to retain a percent of commercialized research income as other sponsors do)

• Administrative transactions
  ▪ University administrative cost reimbursement is treated as royalty income: faculty receive a “bonus” when these transactions occur

• One-time payments
  ▪ Putting key technology into good start-ups results in a more variable income stream, making future OTC self-funding difficult under current policy
Peer Institution Comparison
The U of MN is out of step in funding tech transfer and supporting academic entrepreneurialism

<table>
<thead>
<tr>
<th>University</th>
<th>Licensing Income (2007)</th>
<th>Tech Transfer Overhead Charge</th>
<th>Increases Univ. % of distribution after threshold is reached</th>
<th>Startup Investor Equity Cap*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Northwestern</td>
<td>$85.3M (w/ Lyrica)</td>
<td>20% overhead charge, OVPR receives addtl. 20%</td>
<td>Info not available</td>
<td>None</td>
</tr>
<tr>
<td>Wayne State Univ.</td>
<td>$5M</td>
<td>35-50% net</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>U. of Virginia</td>
<td>$5M</td>
<td>~40% net</td>
<td>3% or $10k/yr</td>
<td>None</td>
</tr>
<tr>
<td>Johns Hopkins</td>
<td>$10M</td>
<td>15% net</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Yale</td>
<td>Not available</td>
<td>10% net</td>
<td>Info not available</td>
<td>None</td>
</tr>
<tr>
<td>Vanderbilt</td>
<td>$9M</td>
<td>5-10% net</td>
<td>Case by case</td>
<td>None</td>
</tr>
<tr>
<td>Iowa State U.</td>
<td>$18M</td>
<td>15% gross</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Baylor College</td>
<td>$11M</td>
<td>15% gross</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Stanford</td>
<td>$63.9M</td>
<td>15% gross</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>MIT</td>
<td>Not available</td>
<td>15% gross</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>U. of Arizona</td>
<td>Now available</td>
<td>15% gross</td>
<td>3%</td>
<td>None</td>
</tr>
<tr>
<td>Case Western Reserve</td>
<td>$11M</td>
<td>15% if net income &gt;$100k</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>U. of Pennsylvania</td>
<td>$6M</td>
<td>$10k transaction fee</td>
<td>49.9%</td>
<td></td>
</tr>
<tr>
<td>Harvard</td>
<td>$12M</td>
<td>10-15% gross</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>U. of Michigan</td>
<td>$13M</td>
<td>7% gross</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Univ. of MN</td>
<td>$63M (w/ Glaxo)</td>
<td>0%</td>
<td>None</td>
<td>5%</td>
</tr>
<tr>
<td></td>
<td>$8.5M (w/o Glaxo)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Gross=charge taken prior to expenses  
Net=charge taken after expenses  
*Held privately
Policies at peer institutions maximize ROI and support academic entrepreneurship

- All universities benchmarked (except the U of M) have an overhead charge that covers licensing expenses (median 15%)
• ~50% of universities benchmarked increase the amount of revenue retained by the university on extremely large payouts

• Over 50% of universities do not cap the amount of company equity an inventor can receive—thus leading to an environment supportive of academic entrepreneurship
Trends are in the right direction: Further opportunities to improve

- Enhance IP commercialization policy
  - Better balance risk/reward ratio
    (fairly share the cost of tech transfer)
- Harmonize conflict of interest policy with peer institutions
  (vis-à-vis start-up companies)
  - Allow increased participation of faculty in start-ups while at the same time instilling the importance of strong conflict management
- Enable OTC to stay self-funded while supporting new ventures
Organizational Detail & Staff Bios
Two key functional roles:
• Strategy Managers: Rigorously evaluate technologies based on various criteria
• Marketing Managers: Focused on marketing & licensing technologies
Jay Schrankler, Executive Director

Experienced executive with 26 years at Honeywell, 3M and Unisys Corporation, in roles spanning from the Aerospace Business to the Automation and Control Solutions business.

Led Honeywell’s $1.1B Global Environmental Controls Business as Vice President and General Manager.

Five years as the Vice President of Honeywell’s Automation and Control Solutions Intellectual Property Licensing and Marketing Business, successfully building the business from scratch to $13B in sales by licensing Honeywell’s technology as well as its renowned trademark.

Undergraduate studies at the University of Minnesota in electrical engineering; M.S., Electrical Engineering and in Computer Science, University of Wisconsin.

Completed executive management certifications at Harvard University and UCLA.
Director - Founding director of the Venture Center and the Venture Center, a component of the MBA program at the Carlson School of Management. Constructed the academic curriculum for Ventures Enterprise, managing many of the student activities with emerging firms. As the co-director of the Center for Entrepreneurial Studies at the Carlson School of Management, he was responsible for soliciting community involvement in the program and securing research and development sponsorships and company research participation.

Over 20 years of experience in the venture capital and investment banking industries, including 10 years at IBM in engineering, sales, and sales management.

He holds a B.A. in Mathematics from the University of Minnesota and an M.B.A. from the University of St. Thomas.
Leza Besemann, Business Unit Leader

Veteran product marketing manager for scientific and process instrumentation, working with international clients in the pharmaceutical, food and beverage and chemical industries.

Over 6 years in industry with companies such as Thermo Electron (now Thermo Scientific).

M.S. Organic Chemistry, University of Wisconsin-Madison; B.S. Chemistry from Binghamton University

Eric Hockert, Marketing Manager

Successful technology development researcher and senior manager, experienced in product development of high tech materials and processes.

Over 25 years in industry with 3M, Boston Scientific, Imation, and Vision Ease Lens.

Ph.D., M.S., B.S. in Chemical Engineering from the University of Illinois and Iowa State University
Engineering & Physical Sciences

Eric Olson

Strategy Manager – Proven leader in successfully developing strategies for new and growing technology ventures including systems engineering at a wireless communications start-up company.

Over 5 years experience in early stage companies

Proven inventor with 12 issued U.S. patents and numerous published scientific articles.

M.B.A., University of Wisconsin-Madison; M.S., Applied Mathematics, University of Colorado; B.S., Electrical Engineering and Mathematics, Marquette University

Dale Nugent

Marketing Manager - Executive leader with experience in industrial marketing, operations, new product development, venture finance and global relationship/business development.

Over 23 years of success and experience earned from and spanning Emerson Electric, Wavecrest, RivaTek and Bethel University.

M.B.A. and Masters of Engineering Management, Northwestern University; B.S. Mechanical Engineering, University of Minnesota
Chad Kieper

**Strategy Manager** – Successful background as a leader and researcher, with work ranging from basic science through the clinical arms of the drug development process.

Over 8 years experience with post-doctoral research fellowships at the Scripps Research Institute in La Jolla, California and the Mayo Clinic in Rochester, Minnesota.

Ph.D. in Pathobiology from the University of Minnesota; B.S. in Biology from Bethel University

Rebecca Gerber

**Strategy Manager** - Proven leader in pharmaceutical market analysis, strategic decision-making, and scientific and commercial message development.

Over 8 years of professional experience working in 3 key areas within the pharmaceutical industry (biotech, generic and branded products)

M.S. in Technology Management & M.B.A. from the University of Maryland; B.S. in Microbiology, Iowa State University
Karen Kaehler, *Strategy Manager*

Highly experienced product development and launch team leader in the medical device, health information and biosciences industries.

Over 20 years experience with such companies as ICAN, Inc., Schneider (USA), Inc., and American Medical Systems, Inc.

B.S. in biology and an M.B.A., both from the University of Minnesota.

Meenakshy Iyer, *Strategy Manager*

Accomplished pharmaceutical researcher. Specializes in the pharmaceutical sciences, drug development, formulation, process development of new products and process analytical technologies.

Over six years in academia and industry, most recently with Upsher-Smith Laboratories.

Ph.D. in Pharmaceutics, Duquesne University; Bachelors in Pharmaceutical Sciences from University of Mumbai, India.

Anne Hall, *Strategy Manager*

Highly skilled researcher with experience spanning a wide variety of areas in the life science field, including: cellular and molecular biology, genetics, and comparative genomics.

Over 10 years experience, overseeing and conducting research for several institutions.

Ph.D. in Cellular and Molecular Biology, University of Wisconsin-Madison, with postdoctoral research at the University of Chicago.
Joseph Hofmeister, Marketing Manager

Veteran medical device commercialization executive with expertise in developing and launching new surgical technologies globally.

Over 20 years of industry experience gained at Pfizer, American Medical Systems, Shepard Medical, and Muranaka Medical Instruments.

M.B.A. in Marketing from the University of Minnesota; B.A. from Macalester College

Sue Patow, Marketing Manager

Recognized technology transfer leader in the fields of human and veterinary medicine with the National Institutes of Health and the University of Minnesota.

Over 15 years experience evaluating and licensing intellectual property

B.S.N., Medical College of Virginia, M.B.A. and M.S. University of Maryland
Digital Technologies

Rick Huebsch, Strategy Manager

Accomplished software product and business development leader with experience in all phases of software development and commercialization, in roles ranging from software architect to VP Products.

20 years of professional experience including Symantec Corporation, Veritas Software, and Control Data Corporation

B. S. Computer Science and Mathematics, University of Wisconsin – La Crosse

Andrew Morrow, Marketing Manager

Demonstrated leader in marketing and sales for development-stage software companies, in addition to experience, growing cells in a UCLA Tissue Culture Laboratory.


B.A. from Princeton University
Compliance & Strategic Account Management
Horticulture & Agriculture Science

Michael Moore, Compliance Manager
Accomplished technology transfer professional with experience in all aspects of licensing and venture development in the human and animal health areas.

Over 13 years of product management and marketing experience with Amersham Life Sciences (now GE Life Sciences).

M.S. in Biotechnology, Illinois Institute of Technology; B.S. in Biology, Northern Illinois University

James Rhodes, Marketing Manager
Accomplished sales and marketing manager with experience in business development, strategic planning and government relations management.


B. A. Marketing & Business Management, Morehouse College and Villanova University
Russ Straate

**Associate Director**- Led the successful identification, funding and execution of high tech new businesses, inside large companies, and start-up ventures.

Over 25 years experience with large companies, Honeywell, Square D Company and IMI plc and start-ups, Norand Data Systems and Quanta Fluid Solutions.

B.S.E.E. and M.B.A. graduate studies at the University of Iowa and University of Kentucky

Justin Porter

**Venture Center Analyst** – Technology consultant and entrepreneur.

Spent several years in a variety of information technology consulting roles at Deloitte Consulting.

MBA Candidate at the University of Minnesota – Carlson School of Management; B.S.B. Management Information Systems and Entrepreneurial Studies, University of Minnesota – Twin Cities, *Summa Cum Laude*