



Board of Regents

October 2014

October 10, 2014

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

Boardroom, McNamara Alumni Center

BOR - FRI OCT 2014

BOR - OCT 2014

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8. President's Recommended 2015 State Capital Budget Request - Action

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11. Annual Report on Private Giving

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13. Board of Regents Policy: Gifts Received and Given by Regents
and University Officials - Action

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DRAFT

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

MINUTES

BOARD OF REGENTS MEETINGS

AND

COMMITTEE MEETINGS

September 11-12, 2014

Office of the Board of Regents

600 McNamara Alumni Center

UNIVERSITY OF MINNESOTA
BOARD OF REGENTS

Minutes of the Board of Regents Meetings
and Committee Meetings

September 11-12, 2014

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**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Audit Committee
September 11, 2014**

A meeting of the Audit Committee of the Board of Regents was held on Thursday, September 11, 2014 at 8:00 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Laura Brod, presiding; Clyde Allen, Peggy Lucas, and Abdul Omari.

Staff present: Senior Vice President and Provost Karen Hanson; Vice Presidents Richard Pfitzenreuter and Scott Studham; Executive Director Brian Steeves; and Associate Vice Presidents Gail Klatt and Michael Volna.

Student Representatives present: Aashka Joshi and Jesse Mara.

2014-15 COMMITTEE WORK PLAN

Regent Brod and Associate Vice President Klatt reviewed the 2014-15 work plan for the Audit Committee, as detailed in the docket. Regents discussed the proposed topics and by consensus agreed to the work plan.

INFORMATION SECURITY RISK PRIMER

Regent Brod introduced Vice President and Chief Information Officer Scott Studham and Chief Information Security Officer Brian Dahlin to present an information security risk primer, as detailed in the docket.

Studham explained that information security deals with the mitigation of risks from a range of adversaries. He defined the range of adversaries from amateur hackers motivated out of curiosity or a desire for personal fame, to hobbyists motivated by corporate or personal gain, to experts and specialists working on behalf of nation-states that act out of national interest. Studham noted that the vast majority of security incidents relate to errors or mistakes by legitimate users, and a comprehensive information security program involves dedicating resources to identifying and preventing those types of incidents as well. For FY 2013, the Office of Information Technology reported that 76 percent of breaches were from errors, 20 percent from amateurs, and 4 percent from hobbyist hackers.

Studham gave an overview of the types of incidents encountered at the University, a sample of higher profile incidents at peer institutions, and other well-publicized examples. Dahlin categorized those incidents along the spectrum of adversaries and motivations, putting incidents at the University in context.

In response to a question from Regent Lucas, Studham emphasized that responding to a specific breach was less effective than having a holistic approach to security. He noted that since the majority of issues come from user errors, a better approach is to have strong parameters to protect data and work to educate users to prevent errors.

In response to a question from Student Representative Mara, Dahlin agreed that mobile use has created significantly more user errors and made it far easier to take data outside of established parameters. Examples of recent breaches include unsecured and unencrypted laptops and back-up hard drives being stolen from the University. Dahlin emphasized that educating users on proper security procedures is the main way to combat that type of error.

In response to a question from Regent Omari, Studham explained that attacks can happen in as little as 30 minutes or over the course of many months. Attacks that are “fast and hard” are easier to detect, and operate under the assumption that the data can be removed before the organization being attacked can respond. A “low and slow” attack removes data one packet at a time to a random computer, requiring more coordination. This kind of attack is more difficult to detect since it often visible only within the standard noise of a network. Given the complexity of a low and slow attack and required skill and resources needed, they are fewer in number and carried out by experts.

Studham lead a discussion on how information security risk can be understood to be a function of both the skill of likely adversaries as well as the value of the information relative to other institutions of higher education, healthcare, and scientific research.

He indicated that future discussions in December and May will provide a comprehensive overview of the University’s information security framework and how it is positioned to mitigate the types of risks that are likely to be faced, as well as providing an overview and assessment of the maturity of the University’s policies and practices.

INTERNAL AUDIT UPDATE

Associate Vice President Klatt presented the Internal Audit Update, as detailed in the docket.

Klatt reported that since the last update to the committee in June 2014, University departments implemented 23 percent of outstanding recommendations rated as “essential,” below the expected implementation rate of 40 percent. Three units fully implemented all their remaining “essential” recommendations. Six audit reports containing three recommendations rated as essential were issued in the last three months.

Klatt noted that the Office of Internal Audit would be undergoing an independent review and assessment of its operations and practices. She added that a team of four external reviewers has been selected and will conduct the review in February 2015.

OFFICE OF INTERNAL AUDIT: DEPARTMENT CHARTER

Associate Vice President Klatt presented the Office of Internal Audit: *Department Charter*, as detailed in the docket.

Klatt noted that according to Board of Regents Policy: *Audit Committee Charter*, the Audit Committee is responsible for providing oversight of the internal audit function, including reviewing and approving any changes to the function’s charter. She explained that the proposed changes are intended to maintain alignment with professional standards and guidance. She also highlighted the addition of a section stating that the Office of Internal Audit would be free from undue influence in the selection of activities to be examined. The committee last reviewed the internal audit charter in July 2008.

A motion was made and seconded and the committee voted unanimously to recommend approval of the Office of Internal Audit: *Department Charter*.

CONSENT REPORT

Associate Vice President Klatt invited Associate Vice President Volna to present the Consent Report, as detailed in the docket. Volna reviewed the following non-audit engagements with external audit firms for the committee’s consideration:

- The University’s Health Information Privacy and Compliance Office proposes to engage Deloitte Consulting, LLP to provide advisory services to the University to demonstrate the University’s compliance with HIPAA Security requirements and advise the University on areas that may require further analysis and investigation. The fees and expenses for this engagement are estimated to be \$293,000.
- The University’s Office of the Vice President for University Services proposes engaging Deloitte Consulting, LLP to provide advisory services to the University’s Enterprise Asset Management (EAM) project. The EAM project will develop new business processes and systems for maintaining the University’s physical plant and infrastructure assets. This engagement is for Phase 1 of the project. Deloitte will provide advice, leading practices, tools, templates, and recommendations to the University for use in designing a leading practice process model, collecting high level functional and reporting requirements, and preparation for selecting and implementing an enterprise EAM solution. The fees and expenses for this engagement are \$1,744,000.

Volna reminded the committee that Deloitte is the external auditor for the University. He stated that his office had reviewed the scope, deliverables, and Deloitte’s proposed role and concluded that this engagement would not impair the firm’s independence with respect to its role as external auditor.

In response to a question from Regent Brod, Volna indicated that the appearance of independence is at the heart of the issue of retaining an external auditor for other auditing work. A main consideration is the economic tie between an audit firm and the client. While there is general guidance around how to examine non-audit engagements, there is no clear dollar amount or ratio of when that economic tie impacts a firm’s independence. Volna agreed to report back with some general guidance for the committee at a later meeting.

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

INFORMATION ITEMS

Associate Vice President Klatt invited Associate Vice President Volna to present the information item, as detailed in the docket:

1. Emergency approval of non-audit engagement with external auditors.

The meeting adjourned at 9:29 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Litigation Review Committee
September 11, 2014**

A meeting of the Litigation Review Committee of the Board of Regents was held on Thursday, September 11, 2014 at 8:00 a.m. in the W.R. Peterson Conference Room, 600 McNamara Alumni Center.

Regents present: Richard Beeson, presiding, and David McMillan.

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

Others present: Brent Benrud, Amy Phenix, Brian Slovut, and Tracy Smith.

The meeting convened in public session at 8:05 a.m.

ANNUAL REPORT ON LEGAL MATTERS

General Counsel Donohue presented highlights from the Annual Report on Legal Matters.

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

At 8:17 a.m. a motion was made and seconded that the following resolution be approved:

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

NOW, THEREFORE, BE IT RESOLVED, that in accordance with Minn. Stat. § 13D.01, Subd. 3 and 13D.05 Subd. 3(b), a non-public meeting of Litigation Review Committee be held on Thursday, September 11, 2014 at 8:00 a.m. in the William R. Peterson Conference Room, 600 McNamara Alumni Center, for the purpose of discussing attorney-client privileged matters including the following:

- I. Patent infringement claims
- II. *Minnesota Police and Peace Officers Association and Police Officers Federation of Minneapolis (MPPOA) v. National Football League, Minnesota Vikings Football, LLC, and Regents of the University of Minnesota*
- III. West Bank ground contamination claims
- IV. Prescription drug insurance claims

V. *Kathryn Brenny v. University of Minnesota*

VI. Potential threatened lawsuit

The committee voted unanimously to approve the resolution. The public portion of the meeting adjourned at 8:18 a.m.

The meeting adjourned at 9:30 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Academic & Student Affairs Committee
September 11, 2014**

A meeting of the Academic & Student Affairs Committee of the Board of Regents was held on Thursday, September 11, 2014 at 9:45 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Linda Cohen, presiding; Thomas Devine, Peggy Lucas, and Abdul Omari.

Staff present: Chancellors Lendley Black, Stephen Lehmkuhle and Fred Wood; Senior Vice President and Provost Karen Hanson; General Counsel Bill Donohue; Executive Director Brian Steeves; and Associate Vice President Bernard Gulachek.

Student Representatives present: Callie Livengood and Jesse Mara.

2014-15 COMMITTEE WORK PLAN DISCUSSION

Regent Cohen and Senior Vice President and Provost Hanson reviewed the 2014-15 work plan for the Academic and Student Affairs Committee, as detailed in the docket. Regents discussed the proposed topics and by consensus agreed to the work plan.

**ANNUAL REPORT ON UNDERGRADUATE, GRADUATE &
PROFESSIONAL ACADEMIC PROGRAM CHANGES**

Senior Vice President and Provost Hanson invited Joseph Shultz, Deputy Chief of Staff, to present the annual report on academic program changes. Hanson commended the committee for undertaking an annual review of program changes to ensure they align with University goals.

Shultz briefly outlined the review process academic program changes undergo prior to recommendation to the Board. He emphasized that the process is highly consultative and engages participants at all levels. He explained that the University uses a standard set of criteria to review proposals and all criteria must be addressed, including a thorough understanding of cost. Recently a public review was added to the process for an additional opportunity to engage faculty in the discussion.

Shultz reported that over the last year eight new baccalaureate degrees, five undergraduate-level minors, and six graduate-level degrees were added. Six undergraduate degrees, three master's degrees, one Ph.D. program and three minors were discontinued. He cautioned the committee not to compare the number of degrees added to the number of degrees discontinued as there may or may not be any cost implications associated with the changes.

He shared that in total the number of degree programs offered at each campus has remained relatively stable over the last four years. He noted one exception is the Duluth campus, which recently underwent a thorough review of all degree programs and eliminated or combined several programs.

Hanson identified joint degree programs as an emerging trend that allows students to combine programs and complete both degrees at the same time. She noted that the committee would likely see more cross-college and cross-disciplinary programs in the future, in alignment with the goals of the strategic plan. Hanson introduced a faculty member, a staff member and two students to report on joint degree programs.

Professor Hari Osofsky, Director of the Joint Degree Program in Law, Science & Technology, reviewed the joint and dual degree programs offered through the Law School. She explained that a dual degree saves a student a full year over gaining both degrees separately. Joint degrees offer the same opportunity of the condensed time-frame but go beyond the dual degree to offer a more integrated program. She asserted that students in the Law School's dual and joint-degree programs benefit from having the substantive knowledge in a specific area combined with knowledge of the legal and regulatory options for addressing problems in those areas.

Keli Holzapfel, J.D./Ph.D. student in Molecular, Cellular, Developmental Biology and Genetics, shared that she chose the joint degree program in Law, Science & Technology because the scientific community will need lawyers with strong scientific backgrounds to address new and complex issues testing the current legal system. She added that an unexpected benefit of participating in the program was that students who held dual expertise in law and another area enriched the classroom experience for all students.

Katherine Waters, Director of Executive and Dual Degree Programs in the School of Public Health, reviewed the joint and dual degree programs offered through the school. She told the committee that dual degree students gain the ability to work across disciplines and gain a broader knowledge base that allows them to integrate public health issues into their future careers. She also listed benefits to employers, such as a more flexible and broadly educated workforce.

Anjoli Punjabi, a Pharm.D./M.P.H. student, shared that she chose to pursue a Masters of Public Health degree in addition to her pharmacy degree to address public health disparities in education and access to care. She stated that her dual expertise has already allowed her to be successful implementing a fitness and nutrition intervention program as a means of diabetes prevention.

In response to a question from Regent Omari, Provost Hanson indicated that joint programs and grand challenges have a natural synergy in that they form around the University's strengths and areas of expertise.

In response to a question from Regent Devine, panelists offered that a joint degree gives students a competitive edge to compete in a saturated job market, offers the substantive knowledge necessary to work in many specialties, and offers students a broader array of career choices.

In response to a question from Regent Lucas, Osofsky and Waters addressed the debt loads incurred in pursuing a joint degree. Both explained that through efficiencies gained in the delivery model, the programs generally added only one additional year of study and tuition. Osofsky added that joint or dual degree students have the opportunity to seek scholarships in both schools to further offset the additional cost.

**SEXUAL ASSAULT ON CAMPUS:
A NATIONAL PROBLEM AND UNIVERSITY STRATEGIES**

Senior Vice President and Provost Hanson invited representatives from the Twin Cities, Duluth, Crookston and Morris campuses to share information on the national conversation about sexual assault on college campuses and the University's efforts related to prevention, intervention and policy, as detailed in the docket.

Katie Eichele, Director of the Aurora Center for Advocacy & Education, shared that sexual assault on campus has gained national attention as reports show that one in five women will experience sexual assault on campus. She explained that Title IX requires schools to respond to sexual harassment and sexual violence, and outlines specific requirements for doing so in a document called the "Dear Colleague Letter" published by the Department of Education in 2011. She pointed out that the Aurora Center, which provides support and advocacy to victims as well as education programs on the University's Twin Cities campus, is an award-winning model for college campuses.

Kimberly D. Hewitt, Director of the Office of Equal Opportunity and Affirmative Action, outlined the guidance included in the "Dear Colleague Letter," explaining that the letter set a timeline for action, evidence standards, and recommended appeal options for the both the accused and accuser. It also expanded Clery reporting and additional requirements around education and prevention. Since then, the University's Office of Equal Opportunity and Affirmative Action has assumed investigative responsibilities and turns its findings over to the Office for Student Affairs. New online tools also are used to educate students and employees on the topic and their responsibilities.

Lisa Ann Erwin, Vice Chancellor for Student Life and Dean of Students at the Duluth campus, reported that each campus shares the same four strategies related to sexual assault on campus: prevention, response & support, adjudicating reports, and providing training for students, faculty and staff.

Sandra Olson-Loy, Vice Chancellor for Student Affairs at the Morris campus, shared that each campus then focuses and tailors those strategies to fit their climate:

- Crookston has a strong focus on prevention beginning at Orientation and throughout the year. They will also be adding a student climate survey, to be conducted in November.
- Duluth provides training for faculty, staff and those who will participate in the adjudication process, and has built strong community partnerships to offer a collaborative response for victims.
- Morris has added a grant-funded, full-time violence prevention coordinator and has strengthened response efforts.
- Rochester addresses awareness and prevention in its University Experience course that is required for all undergraduate students.
- The Aurora Center serves the Twin Cities campus and as a resource for the entire system.

Crookston Chancellor Fred Wood conveyed the enormous impact incidences of sexual assault have – not only on the students involved but bystanders and the entire community. He praised the national attention the issue has received, noting that the heightened profile adds additional complexity to an already complicated issue.

In response to a question from Regent Lucas, Eichele explained that many institutions partner with community organizations to provide support services, so the Twin Cities is unique in

having the Aurora Center. She added that as a campus organization, the Aurora Center is better equipped to meet the needs of student victims who have unique experiences and needs.

In response to comments from Regents, Eichele emphasized that any institution could have been included in the federal inquiry into the handling of sexual assault cases on campus. While the University of Minnesota was not on the list, it would only take one complaint from one person who was unhappy with the process. She offered that in the event of an inquiry, the University has the ability to show all the things that are being done to comply with the law and advance awareness and prevention efforts.

In response to questions and comments from Regents, a discussion arose around the use of Clery Act data to understand the scope of the problem on an individual campus. The panel offered that the Clery numbers are limited and only a small part of understanding scope since a low number of Clery reports does not mean that a campus is safe. It may mean that the campus has a poor climate for reporting. Likewise, a higher number of reports may only mean that more people are reporting assaults.

CONSENT REPORT

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

- **Request for Approval of New Academic Programs**
 - Carlson School of Management (Twin Cities campus)—Create dual M.A./M.B.A. degree program in Human Resources Industrial Relations
 - Carlson School of Management (Twin Cities campus)—Create M.S. degree in Business Research
 - College of Food, Agricultural and Natural Resource Sciences (Twin Cities campus)—Create M.S. degree in Bioproducts and Biosystems Engineering and Management
 - Medical School (Twin Cities campus)—Create fellowship in Regional Anesthesiology and Acute Pain Medicine
 - Medical School (Twin Cities campus)—Create fellowship in Clinical Molecular Genetics
 - Medical School (Twin Cities campus)—Create fellowship in Pediatric Anesthesiology
 - School of Public Health (Twin Cities campus)—Create post-baccalaureate certificate in Global Health
 - College of Liberal Arts (Duluth campus)—Create a B.A. degree in Tribal Administration and Governance and deliver online
- **Request for Changes to Academic Programs**
 - College of Education and Human Development (Twin Cities campus)—Discontinue sub-plans in Mathematics Education and Science Education within the Ph.D. degree in Education, Curriculum, and Instruction

- College of Science and Engineering (Twin Cities campus)—Create sub-plans in Data Analysis Specialist, Professional Astronomer, and Secondary Education within the B.S. degree in Astrophysics
- Medical School (Twin Cities campus)—Change the name of the fellowship in Cardiovascular Anesthesiology to Adult Cardiothoracic Anesthesiology
- Crookston campus—Deliver the B.S. degree in Communication online
- **Request for Approval of Discontinued Academic Programs**
 - College of Education and Human Development (Twin Cities campus)—Discontinue the post-baccalaureate certificate in Applied Behavior Analysis
 - College of Education and Human Development (Twin Cities campus)—Discontinue the post-baccalaureate certificate in Educational Psychology Specialist: Education and Counseling
 - College of Liberal Arts (Twin Cities campus)—Discontinue the graduate minor in English as a Second Language
 - College of Food, Agricultural, and Natural Resource Sciences (Twin Cities campus)—Discontinue the M.S.B.B.S.E.M. Bioproducts and Biosystems Engineering and Management Master of Science Degree
 - College of Education and Human Service Professions (Duluth campus)—Discontinue the B.A.Sc. degree in Athletic Training
 - College of Liberal Arts (Duluth campus)—Discontinue the M.Spec.Ed degree in Special Education
 - Labovitz School of Business and Economics (Duluth campus)—Discontinue the graduate minor in Business Administration

The meeting adjourned at 11:45 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Finance Committee
September 11, 2014**

A meeting of the Finance Committee of the Board of Regents was held on Thursday, September 11, 2014 at 9:45 a.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: David McMillan, presiding; Clyde Allen, Richard Beeson, Laura Brod, John Frobenius, and Dean Johnson.

Staff present: President Eric Kaler; Vice Presidents Richard Pfutzenreuter and Pamela Wheelock; General Counsel William Donohue; Executive Director Brian Steeves; and Associate Vice Presidents Stuart Mason, Julie Tonneson, and Michael Volna.

Student Representatives present: Tyler Ebert and Jordan Wentz.

2014-15 COMMITTEE WORK PLAN

Regent McMillan and Vice President Pfutzenreuter reviewed the 2014-15 work plan for the Finance Committee, as detailed in the docket. Regents discussed the proposed topics and by consensus agreed to the work plan.

UNIVERSITY TAX COMPLIANCE ACTIVITIES & PROGRAMS

Regent McMillan introduced University Tax Management Director Kelly Farmer to present an update on University tax compliance activities and programs, as detailed in the docket.

Farmer explained the role of the University Tax Management Office (Tax Management) and outlined key staff and their portfolios. He defined specific tax subject areas, delineating those areas where Tax Management has specific tasks and those where they partner with other areas of the University.

Farmer lead a discussion on tax implications using examples that included the Minnesota 4-H Organization, the new Twin Cities steam plant, the Minnesota Vikings use of TCF Bank Stadium, and the use of tax exempt debt for buildings that are used by both non-profit and for-profit organizations.

ANNUAL ASSET MANAGEMENT REPORT

Regent McMillan invited Associate Vice President Mason to provide an overview of the Annual Asset Management Report, as detailed in the docket.

Mason reported that the invested assets of the University totaled approximately \$2.5 billion on June 30, 2014.

The Consolidated Endowment Fund (CEF) value as of June 30, 2014, was \$1,272.5 million, an increase of \$192.8 million over last year after distributions of \$45.5 million. The total investment return for CEF was 20.4 percent over the last 12 months compared to a benchmark return of 15.5 percent.

Mason explained that the investment return for CEF exceeded the benchmark through outperformance in all of the underlying asset classes except for Return Generating Fixed Income. The primary contributor to outperformance was the Private Capital portfolio, which was up 31.4 percent vs. its benchmark of 18.6 percent. This alone added 4.0 percent of outperformance vs. the CEF benchmark. Return Generating Fixed Income detracted from performance slightly, decreasing the outperformance by 0.2 percent.

The market value of the Temporary Investment Pool was \$1,054.6 million as of June 30, 2014. This was an increase of \$23.2 million over the year. The investment return on the portfolio over the last 12 months was 2.0 percent compared to a benchmark return of 0.6 percent, due largely to the effect of a longer duration in the portfolio. He indicated that the increase in value was largely due to timing of the receipt of tuition payments as part of the University's normal business cycle.

Mason also discussed the Group Income Pool and Regents of the University of Minnesota Insurance Company (RUMINCO) fund performance.

In response to a question from Regent Allen, Mason explained that the Office of Investments and Banking (OIB) works with units to manage and plan for disbursements. OIB works to ensure a balance across good years and lean years, allowing units to see little change in their disbursement from year to year.

Mason detailed investment manager changes over the past year and stated that OIB had evaluated five investment managers and funds that meet the social responsibility criteria in Board of Regents Policy: *Endowment Fund*.

A discussion commenced around combined asset allocation between the University and the University of Minnesota Foundation, and coordination between the two funds.

FINANCIAL COMPONENTS OF THE PRESIDENT'S RECOMMENDED FY 2016-17 BIENNIAL BUDGET REQUEST

Vice President Pfutzenreuter and Associate Vice President Tonneson presented for review the financial components of the President's recommended FY 2016-17 biennial budget request, as detailed in the docket.

Tonneson reviewed state appropriations to the University in FY 2014-15, including operations and maintenance funding, special appropriations, primary care education initiatives funding, and funding for the Academic Health Center. Using these numbers, Tonneson explained how the state would calculate the beginning base for funding in FY 2016-17. She also reviewed the timeline for the biennial budget request.

Tonneson outlined the goals of the biennial budget request as:

- Tuition freeze for all resident graduate and undergraduate students.
- Facility condition improvement strategy.
- Healthy Minnesota initiative.
- Vibrant economy through economic development opportunities through research.

The total request for all four programs for the biennium is \$127.2M, a change from the base of 10.6 percent. Tonneson stated that this is a healthy request and by FY 2017 the request matches funding given to the University in FY 2008. President Kaler emphasized that it is important for the State of Minnesota to return the University, without accounting for inflation, to the FY 2008 funding level.

Regent McMillan commended the administration and voiced support for the new facility condition improvement strategy as a needed change for how the University requests asset preservation dollars from the state.

In response to a question from Regent Johnson, Kaler confirmed that there had been informal conversations with Minnesota House and Senate leaders, along with the governor's office. All three expressed interest in freezing tuition and support for the other ideas. The addition of asset preservation dollars to the operations and maintenance budget and restructuring of the Higher Education Asset Preservation and Renovation (HEAPR) fund is of some interest. Kaler noted that if other ideas were presented to fund HEAPR or change how asset preservation dollars are allocated on the operating side or the bonding side, the University would be happy to engage in those conversations.

In response to a question from Regent Beeson, Pfutzenreuter noted that the Promise Scholarship, which is centrally funded, would not grow if the state provided a tuition freeze. Instead, the University would focus on increasing the scholarship pool through fundraising.

In response to a question from Regent Frobenius, Kaler responded that the University does not have enough merit-based aid to compete for the best students. It is a priority to increase that amount through private fundraising, while balancing it against need-based aid. Kaler agreed that the University has a strong story to tell and metrics that show the University is on an upward trend across multiple areas of performance.

In response to a question from Student Representative Wentz, Kaler noted that the "vibrant economy" goal of the request would have a fundamental research component at the University, but implementation would be through partnerships with private industry.

FINANCIAL COMPONENTS OF THE PRESIDENT'S RECOMMENDED SIX-YEAR CAPITAL PLAN AND 2015 STATE CAPITAL BUDGET REQUEST & UPDATE ON DEBT CAPACITY

Vice President Pfutzenreuter and Debt Management Director Carol Fleck presented for review the financial components of the President's Recommended Six-Year Capital Plan (Plan) and 2015 state capital budget request and update on debt capacity, as detailed in the docket.

Pfutzenreuter explained that the Plan includes major capital improvements planned for fiscal years 2015 through 2020. It includes projects to be funded with state capital support, as well as projects funded by the University through a combination of University debt obligations, local unit resources, fundraising, and public/private partnerships.

Year 1 of the Plan (2015) outlines the projects that the University will be submitting to the State of Minnesota for consideration during the 2015 legislative session. The 2015 state capital request totals \$88,000,000 and contains three projects: Higher Education Asset Preservation and Replacement (HEAPR) funds, the replacement of the Veterinary Isolation Laboratory, and the replacement of a greenhouse on the St. Paul campus. All three projects were identified in the 2013 Six-Year Capital Plan. The greenhouse project was previously included in the University's 2014 legislative capital request in the Laboratory Improvement fund line item but was not funded.

Fleck reviewed the University's long-term debt as of June 30, 2014. The total amount of University supported debt was \$866,205,000. State supported debt was \$301,135,000. Fleck also noted new issued debt for the Ambulatory Care Center of \$145,760,000 and debt for the Gateway Corporation of \$51,217,000.

Fleck outlined the amortization structure, projected debt issuances over the Plan, reviewed the University's credit quality, and key financial metrics and credit ratios. She offered a projection of the theoretical debt captivity of the university based on Moody's Aa1 rating medians.

In response to Regent Brod, Pfutzenreuter observed that there are many projects that are being planned or fundraised for, but not all of them are included in the Plan. It is also true that all of the projects in the Plan will not be fully realized in the six-year time period. He noted that is why it is important for the University to maintain reserve capacity outside of the Plan to allow for changes in priorities or to capitalize on new opportunities. Regent Allen added that it is the goal to keep a third of the debt capacity as a cushion.

Regent Frobenius commented that the University has done a good job of keeping debt service to operating budget percentage low by finding partners to share the cost. Pfutzenreuter agreed that the University has plenty of debt capacity, but it is the ability to pay the debt service that is the issue. Finding partners to help pay the debt service allows the University to move forward with needed projects, while keeping the impact on the operating budget low.

CONSENT REPORT

Regent McMillan presented the Consent Report, as detailed in the docket:

General Contingency:

- To VP University Services, \$500,000 for construction of two loading docks for use by UMarket;
- To VP University Services, \$250,000 for remodeling of University Relations space on ground floor of Morrill Hall; and
- To the Office of Public Safety \$271,300 for installation of new PSECC radio system.

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

- To Deloitte Consulting LLP for \$1,744,000 for consultative services for the Enterprise Asset Management project for the period of September 16, 2014, through July 31, 2015, for University Services. The project will be purchased with University Enterprise Assessment funds. Vendor was selected through a competitive process.
- To Forsythe Solutions Group, Inc. for an estimated \$2,160,000 and Dell Marketing for an estimated \$500,000 for an application delivery solution for the period September 15, 2014, through September 14, 2019, for the Office of Information Technology (OIT). OIT will make this purchase with O&M funds. Vendor was selected through a competitive process.
- To Oracle Corporation for \$1,066,149 to renew Oracle PeopleSoft Campus Solutions computer software licenses, updates, and maintenance support for the one-year period September 26, 2014, through September 25, 2015, for OIT. OIT funds these product support and software updates to ensure continuous operation of Oracle PeopleSoft Campus Solutions. The expense will be covered from OIT's central O&M funds. The FY15 budget includes planning and funding for this expense.

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

INFORMATION ITEMS

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

- Debt Management Advisory Committee Update
- Ambulatory Care Center Financing
- Quarterly Purchasing Report

The meeting adjourned at 11:43 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Facilities & Operations Committee
September 11, 2014**

A meeting of the Facilities & Operations Committee of the Board of Regents was held on Thursday, September 11, 2014 at 2:00 p.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Clyde Allen, presiding; Linda Cohen, Thomas Devine, Dean Johnson, Peggy Lucas, and Abdul Omari.

Staff present: President Eric Kaler; Chancellor Stephen Lehmkuhle; Vice Presidents Richard Pfitzenreuter and Pamela Wheelock; Executive Director Brian Steeves; and Associate Vice President Michael Berthelsen.

Student Representatives present: Callie Livengood and Tyler Ebert.

SCHEMATIC PLANS

A. Scholars Walk: “The Gallery” – Twin Cities Campus

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

The schematic plans for Scholars Walk: “The Gallery,” Twin Cities Campus are approved and the appropriate administrative officers authorized to proceed with the award of contracts, the development of construction documents, and construction.

Vice President Wheelock invited Suzanne Smith, Assistant Vice President for Capital Planning & Project Management, and Larry Laukka, University Gateway Corporation Board Member, to present the schematic plans, as detailed in the docket.

Smith explained that the project would be coordinated with upgrades to the adjacent Mechanical Engineering building using the same contractor at risk for both projects.

In response to a question from Student Representative Ebert, Laukka explained that the current artwork on the Wall of Discovery would remain, and considerably more artwork based on discoveries made at the University would be added.

In response to a question from Regent Allen, Laukka shared that for the initial Wall of Discovery, a scholastic group was formed to generate ideas and select the featured discoveries. He suggested that a similar process would be used to determine new discoveries featured.

The committee voted unanimously to recommend approval of the schematic plans for Scholars Walk: “The Gallery” – Twin Cities Campus.

**OPTIMIZING THE UNIVERSITY'S PHYSICAL ASSETS:
FACILITIES CONDITION ASSESSMENT**

Vice President Wheelock introduced Mike Berthelsen, Associate Vice President, and Andrew Chan, Program Manager, to provide the annual Facilities Condition Assessment (FCA), as detailed in the docket.

Chan noted that 35 percent of facilities are in good or excellent condition but that 50 percent are below average or worse. He reported that to bring all facilities to at least fair condition would require a \$1 billion investment; to bring all facilities to excellent condition would require a \$2 billion investment. An annual investment of \$85 million would be required to maintain the current condition.

Berthelsen stated that the current approach to asset management is unsustainable and shared that facility operations account for a larger share of the University's budget than 10 years ago. He explained that expenses have increased by 75 percent over the last 10 years, while other University revenues and expenses have grown by only 45 percent over the same period. He cited rising service costs and the addition of space as the reasons for the increase, despite a reduction in operations costs per square foot.

Wheelock presented the following policy questions to frame the discussion:

- What percent of University resources should be allocated to facilities?
- How does facility quality contribute to a place-based experience?
- Does the University have the right type and amount of space?
- What is an appropriate condition standard for each facility?
- What is the best approach to stop adding to the backlog?

In response to a question from Regent Allen, Wheelock suggested that one single strategy would not work to close the gap between current funding levels and the level necessary to maintain or improve the overall condition of the University's facilities. She offered that priorities should align with the strategic plan with more emphasis on academics. She also cited changes in the use of space, such as the Work+ program, as a way to reduce overall space needs. Wheelock stressed that improving the reliability of repair and replacement funds is a priority for the University.

In response to questions from Regent Johnson, Wheelock commented that parking is not built for peak demand because event-parking fees are not a reliable option to pay the debt service. She noted that while surface parking is cheap it requires a significant allocation of space. Wheelock also reported that classroom space is centrally managed to gain greater utilization of the spaces and centralize use on evenings and weekends to cut back on other expenses such as security and HVAC.

**PROJECT COMPONENTS OF THE PRESIDENT'S RECOMMENDED SIX-YEAR
CAPITAL PLAN AND THE 2015 STATE CAPITAL BUDGET REQUEST**

Vice President Wheelock outlined the President's recommended Six-Year Capital Plan (Capital Plan) for fiscal years 2015-2020 and the 2015 State Capital Budget Request, as detailed in the docket. She began by presenting the objectives of the Capital Plan and noted its alignment with the strategic plan. Wheelock outlined several projects included in the Capital Plan and highlighted the programmatic outcomes for each project.

Wheelock shared several projects earmarked for renewal using HEAPR funds and described a new strategy to improve the consistency of funding for repair and renovation. She explained that as part of the biennial budget request, the University is proposing that the state provide an incremental \$5 million in recurring operations and maintenance appropriation to the University for each of the next four years, and in return the University would decrease the HEAPR request by \$5 million each year over the same period.

She also shared that up to 300,000 square feet of current space could be demolished if the project sequences outlined in the plan are completed. She also reviewed the three projects included in the President's recommended 2015 State Capital Request.

President Kaler commented that this is Plan A to address the repair and replacement funding levels in the short to medium-term, as discussed in the presentation of the Facilities Condition Assessment.

PLANNING AND VISION FOR THE ROCHESTER CAMPUS

Vice President Wheelock introduced Monique MacKenzie, Director of Planning and Space, and Stephen Lehmkuhle, Chancellor, to outline the University of Minnesota Rochester (UMR) campus master plan, as detailed in the docket. MacKenzie reviewed the four principles of campus master planning adopted by the Board of Regents in 1993 and outlined the consultant-led planning process for developing the plan.

Lehmkuhle emphasized the community connection and described UMR as a campus knit into the community. He described the University's role as the anchor of the education district in the City of Rochester's vision for downtown. He shared that the University already owns the land needed to complete the first phase of the plan, and the second phase will not be considered until it is justified by increased enrollment. Lehmkuhle suggested that full development of the plan would take at least 20 years.

He added that more than half of the space envisioned in the master plan would house strategic community partners. By owning the land, UMR is positioned to shape the education district to include community organizations that will enhance the student experience.

In response to a question from Regent Johnson, Lehmkuhle pointed out that the University has started discussions with all property owners affected by the plan. He noted that attention is currently focused on Area B.

In response to several questions from the committee, Lehmkuhle commented that the plan is flexible depending on enrollment and financial realities. He offered that UMR could lease the planned space from a developer. He emphasized that the education district offers a richer learning environment by co-locating with strategic partners and added that much of UMR's current space in downtown Rochester is envisioned as Destination Medical Center space in the future.

In response to a question from Regent Lucas, Lehmkuhle invited Jay Hesley, Assistant Vice Chancellor for Institutional Advancement, to respond. Hesley noted that the plan's synergy with City of Rochester and Destination Medical Center plans will become clearer when those plans are released at the end of the year. He added that the education district is one of six core zones targeted for investment in those plans.

In response to a question from Regent Devine, Lehmkuhle indicated that density and proximity to the river and Broadway Avenue were important considerations for the city. He explained that the buildings closer to downtown will have four to eight floors while those closer to the park will have no more than four floors. He added that a building is planned for the river/Broadway Avenue side of the parking ramp so the ramp will not be visible from the street.

2014-15 COMMITTEE WORK PLAN DISCUSSION

Regent Allen and Vice President Wheelock reviewed the 2014-15 work plan for the Facilities and Operations Committee, as detailed in the docket. Regents discussed the proposed topics and by consensus agreed to the work plan.

INFORMATION ITEMS

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

- Annual Report on Real Estate Transactions Over \$250,000 and/or Over 10 Acres
- Amendment to 99-Year Lease and 20-Year Lease at 801 16th Avenue NE (Austin)

The meeting adjourned at 3:58 p.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Faculty & Staff Affairs Committee
September 11, 2014**

A meeting of the Faculty & Staff Affairs Committee of the Board of Regents was held on Thursday, September 11, 2014 at 2:00 p.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: John Frobenius, presiding; Richard Beeson, Laura Brod, and David McMillan.

Staff present: Senior Vice President and Provost Karen Hanson; Vice Presidents Kathryn Brown and Scott Studham; General Counsel William Donohue; and Executive Director Brian Steeves.

Student Representatives present: Emily Caldis and Damien Carrière.

2014-15 COMMITTEE WORK PLAN

Regent Frobenius and Vice President Brown reviewed the 2014-15 work plan for the Faculty & Staff Affairs Committee, as detailed in the docket. Regents discussed the proposed topics and by consensus agreed to the work plan.

HOW HUMAN RESOURCES PROVIDES VALUE

Vice President Brown presented how the human resources function (HR) provides value, as detailed in the docket.

Brown highlighted the important strategic role that HR must play to effectively support the University's strategic goal of recruiting and retaining the faculty and staff who will further its mission and priorities. She outlined how HR is being realigned with the University's strategic plan and goals.

Citing current workplace trends that are creating challenges for the University and HR, Brown explained that HR policies have not yet caught up with technology. She described how technology creates new flexibility that could allow more employees to work remotely. These advances and changes to how employees can engage their work are areas that will require further examination and policy review.

Brown explained how the Office of Human Resources (OHR) is building a human resource infrastructure to empower leaders and managers. She detailed how OHR can be an advisor, consultant, and catalyst for talent and leadership development and culture change. She stated that OHR would help the University deliver a return on its investment in people measured by increased productivity and innovation.

A discussion ensued around how to measure culture change, blending culture change into employee evaluations, the need for metrics to measure and ensure that progress is being made, and a clear definition of success.

UPDATE ON EMPLOYEE ENGAGEMENT

Vice President Brown invited Brandon Sullivan, Director of Leadership and Talent Development in the Office of Human Relations, to present an update on employee engagement, as detailed in the docket.

Sullivan updated the committee on the comprehensive employee engagement efforts launched in 2013 to measure and shape faculty and staff satisfaction with, and connection to, the University. Sullivan gave an overview of the science of engagement, and outlined accomplishments to date.

Sullivan introduced Dean Eric Schwartz of the Hubert H. Humphrey School of Public Affairs (Humphrey School). Schwartz offered examples related to employee engagement that the school has implemented. He described how the Humphrey School has focused on transparency and communication, while seeking to blend staff and faculty to create a more equal working environment.

In response to a question from Regent Beeson, Sullivan explained that employee satisfaction surveys and best practices are not standardized across the University. There is a struggle to require set practices since differences across units can require different specific methods. Regent Frobenius added that the better option would be to create desired outcomes and give units a selection of best practices. While not creating uniformity across the University, this method would ensure that the desired outcomes would be reached by using best practices tailored to each unit's unique needs.

EMPLOYEE WELLBEING

Vice President Brown invited Professor Mary Jo Kreitzer, director of the Center for Spirituality and Healing, to present on employee wellbeing, as detailed in the docket.

Kreitzer explained that employee wellbeing is an emerging topic in higher education and the corporate sector. Through extensive work and research around integrative health and healing, the University's Center for Spirituality and Healing has identified six dimensions that contribute to wellbeing:

1. Health
2. Purpose
3. Relationships
4. Community
5. Security
6. Environment

The six dimensions take into account an employee's interconnectedness and interdependence with their friends, families, and communities. The dimensions also address the importance of security and purpose in an employee's life. Kreitzer suggested that this model, with its research- and practice-based rigor, could be applied at both the individual and organizational level.

Kreitzer addressed the emerging interrelatedness between wellbeing and employee engagement. She explained that the most successful, innovative organizations are built on cultures of engagement and wellbeing. She noted that by creating a culture of wellbeing, you give employees ownership of the community, tools and resources for capacity building, and empower employees to be engaged within their workplace.

CONSENT REPORT

Vice President Brown presented for review and action the Consent Report, which included the following item:

- Conferral of tenure for outside hires.

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

INFORMATION ITEMS

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

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

The meeting adjourned at 3:53 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Board of Regents
September 12, 2014**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, September 12, 2014 at 8:00 a.m. in the Boardroom, 600 McNamara Alumni Center.

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

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

RECOGNITION

Regents Professor

Recognition was given to newly appointed Regents Professor Ann Masten, Irving B. Harris Professor of Child Psychology in the Institute of Child Development. Regents Professorships are the highest honor that the University of Minnesota bestows on its faculty. The individual holds the title as long as he or she retains a full-time, tenured appointment as a faculty member of the University.

INTRODUCTIONS

Dean, College of Liberal Arts

President Kaler introduced John Coleman, Dean of the College of Liberal Arts. Coleman began his appointment on July 31, 2014. Coleman briefly addressed the Board.

Incoming Chair, Faculty Consultative Committee

President Kaler introduced Rebecca Ropers-Huilman, Professor, Department of Organizational Leadership, Policy, and Development in the College of Education and Human Development. Ropers-Huilman will serve as Faculty Consultative Committee chair for 2014-15.

APPROVAL OF MINUTES

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

Board of Regents - July 10, 2014

REPORT OF THE PRESIDENT

President Kaler distributed his work plan for the coming year.

President Kaler spoke about the recent pledge by Land O'Lakes to invest \$25 million in University of Minnesota academics and Gopher Athletics. The commitment will advance the University's teaching, student support, athletic programs and research mission, and will further position the institution as a leader in addressing society's grand challenges.

President Kaler announced that the University of Minnesota Crookston was, for the second year running, selected by *U.S. News & World Report* as the best regional college in the Midwest. Kaler noted he would visit the Crookston campus later in the month to celebrate the groundbreaking of a new wellness center. He also reported on significant grants received, events, and student and staff activities and several outstanding achievements in colleges and departments system-wide.

President Kaler reported on his recent trip to Norway to meet leaders of four universities. While there he also meet with members of Norway's Parliament and with leaders of Norway's innovation and business communities. He also provided an update on campus safety efforts, particularly noting efforts related to the light rail trains on Washington Avenue.

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

REPORT OF THE CHAIR

Chair Beeson reported on the Board of Regents retreat held July 10-12, 2014 in St. Cloud, during which the following priorities were developed:

- Complete Twin Cities strategic plan and begin outcome-based implementation that reinforces a culture of excellence.
- Strengthen academic health sciences and University of Minnesota Health delivery partnerships.
- Support system-wide initiatives promoting excellence through resource prioritization, and continue progress toward meeting or exceeding a goal of \$90 million in administrative costs savings by FY 2019.
- Deepen understanding of how demographic trends will impact tuition/financial aid/cost models and enrollment profiles across the system.
- Create guiding principles for long-range Twin Cities campus planning and neighborhood engagement.

These priorities are intended to assist the president and senior leaders in advancing their work and guide the Board's agenda planning and development throughout the year.

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

RECEIVE AND FILE REPORTS

Chair Beeson noted the receipt and filing of the Annual Report on Legal Matters, the Annual Asset Management Report, and the Quarterly Report of Grant and Contract Activity.

CONSENT REPORT

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

- Summary of Gifts through July 31, 2014; and
- Appointment of UMore Development LLC University Governor
 - Brian Buhr, Dean, College of Food, Agricultural, and Natural Resource Sciences, as a University Governor and member of the UMore Development LLC Board of Governors for an indefinite term.

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

STRATEGIC PLAN FOR THE TWIN CITIES CAMPUS

President Kaler stated that the proposed Strategic Plan for the Twin Cities campus (Strategic Plan) is a roadmap for reinvigorating the University of Minnesota. He indicated the yearlong process to develop the Strategic Plan has been inclusive, argumentative, collaborative, and provocative. The result, the new “grand challenges” agenda, is ambitious, focused, and intended to improve lives, solve programs, renew the curriculum, touch local communities in new ways, and re-envision the work of the American land-grant research university. He introduced Senior Vice President and Provost Hanson to lead the discussion.

Hanson reported that, in 2013, President Kaler charged a work group with developing an inclusive campus-wide planning effort that would result in an aspirational and inspirational plan to advance the University’s reputation and impact. Hanson explained that the Strategic Plan has at its foundation the University’s three-fold mission of research and discovery, teaching and learning, and outreach and public service.

Hanson presented the foundational commitments and guiding principles the work group followed throughout the process, which, she noted, has been a multifaceted collaborative effort led by the work group and issue teams. She indicated that the Strategic Plan is dynamic plan and meant to recognize exceptional opportunities and strategic strengths that differentiate the University of Minnesota from other higher education institutions.

Hanson presented the vision and goals of the Strategic Plan:

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

- Build an exceptional University where grand societal challenges are addressed;
- Support excellence and, with intention, reject complacency;
- Build a culture of reciprocal engagement, capitalizing on our unique location; and
- Aggressively recruit, retain, and promote field-shaping researchers and teachers.

Hanson introduced the following individuals who served as co-leads on the issue teams to present the transformational vision and summarize strategic action steps for each strategic goal.

Jakub Tolar, Professor, Medical School – Supporting Excellence/Rejecting Complacency

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

Action steps:

- Better align time and money with strategic priorities;
- Implement a broad campus climate initiative that simultaneously pursues diversity, accountability, and civility;
- Remove obstacles – decrease administrative burdens, streamline processes; and
- Improve communication.

Joe Konstan, Professor, College of Science and Engineering – Grand Challenges, Research

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

Action steps:

- Jump-start institutional transformation and elevate and broaden areas of interdisciplinary focus around grand challenges where the institution has robust work;
- Provide bottom-up support for emerging interdisciplinary problems;
- Review policies and recognize interdisciplinary efforts in promotion-and-tenure and regular evaluation; and
- Ensure resources are in place to meet the research challenge goals

Renee Cheng, Professor and Associate Dean, College of Design – Grand Challenges, Curriculum

Vision: We will evolve Liberal Education Requirements to integrate grand challenges

Action steps:

- Develop grand-challenges curriculum;
- Develop a grand challenges scholars program;
- Develop more university seminars focused on grand-challenge topics; and
- Develop undergraduate minors program focused on grand-challenges topics.

Liz Lightfoot, Professor, College of Education and Human Development – Reciprocal Engagement/Leveraging Our Location

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

Action steps:

- Develop criteria for evaluating engaged scholarship and other campus-community collaborations;
- Enhance training in reciprocal engagement for faculty, students, and staff;

- Strengthen reciprocal practices and strategic focus in current engagement with community partners;
- Convene community, governmental and corporate partners around grand-challenges priorities; and
- Make engagement opportunities more visible.

Timothy Kehoe, Professor, College of Liberal Arts – Field-Shaping Researchers and Teachers

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

Action steps:

- Invigorate the process for recruiting the best researchers and teachers; and
- Improve the University environment and culture so there is support for transformational scholarship.

Meghan Mason, Ph.D. candidate, Epidemiology – Student Perspectives

Mason discussed student involvement throughout development of the Strategic Plan. She provided the student perspective on each of the grand challenges and discussed potential opportunities, challenges, and outcomes.

In response to a question from Regent Johnson, Hanson indicated that throughout the process the work group has been thinking about implementation steps. She added that there has been ongoing involvement with the university community, external stakeholders, and others during the process, which has helped to build enthusiasm for the Strategic Plan.

In response to comments from Regent Devine, Hanson reported that elements of the plan will create pathways designed to help students make linkages to local companies, and see the world beyond the confines of campus.

Regent Omari commended the work group for a Strategic Plan that embraces diversity in many forms, including diversity in thought, and that encourages critical thinking to solve the world’s problems.

Regent Cohen noted that transformation of the University depends on implementation, and expressed appreciation for the “quick wins” identified as a positive way to move implementation forward.

Regent Frobenius commented on the timeliness of the Strategic Plan, and its focus on evolving values and culture change to make the University more relevant while continuing to raise its level of excellence.

Regent Brod stated her belief that this plan focuses on a culture of progress rather than a place of progress, which will create sustainability to execute and implement the Strategic Plan. She added the Strategic Plan is timely, encourages engagement, and offers what is needed in higher education.

In response to comments from Regent McMillan, President Kaler noted that each system campus has a strategic plan in place or in a stage of development, and there will be future conversations on alignment and leveraging each plan to achieve optimal results for the University system as a whole.

Regents Lucas and Simmons expressed their enthusiasm and support for the Strategic Plan.

The Strategic Plan for the Twin Cities Campus will return for action at the October 2014 Board of Regents meeting.

PRESIDENT'S RECOMMENDED FY 2016-17 BIENNIAL BUDGET REQUEST

Chair Beeson invited President Kaler to present the President's Recommended FY 2016-17 Biennial Budget Request (Budget Request) as detailed in the docket materials.

The Budget Request is designed to continue the University's partnership with the state to:

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

President Kaler detailed the \$1.3 billion request, which focuses on four specific goals:

- A tuition freeze;
- Improved facilities;
- Improved health; and
- Economic development.

President Kaler noted that, for the second consecutive biennium, a tuition freeze for Minnesota residents is a top priority in the Budget Request. The administration is proposing a guaranteed two-year tuition freeze for all resident students. President Kaler summarized the funding strategy, tuition impact on each campus, and how the funds would be invested in essential faculty, facilities, and operations.

President Kaler reported that facility utilization is changing and will continue to change, but the need for high-quality research and teaching spaces will not. He stressed the importance of a predictable source of funding for facility repair and renovation. While Higher Education Asset Preservation and Renovation (HEAPR) funds are the primary source of this funding, for many years the allocation to the institution has been less than the request and insufficient to meet facilities needs. The administration is proposing that the state provide an incremental \$5 million in recurring operations and maintenance appropriation to the University for each of the next four years, and in return the University would decrease the HEAPR request by \$5 million annually over the same period.

President Kaler described a proposal to revamp curriculum and clinical training programs to incorporate new models of health promotion and care, such as inter-professional education and training, team care, and prevention and wellness. He shared ways to promote economic development through two targeted initiatives – one focused on statewide industry, one on community vitality. He described the proposed investments in prevention and treatment of environmental problems associated with mineral extraction, and on reducing health, educational, and social disparities among Minnesota's diverse and changing communities. He summarized each initiative and the associated appropriation request for each for the next two years.

The President's Recommended FY 2016-17 Biennial Budget Request will return for action at the October 2014 Board of Regents meeting.

PRESIDENT'S RECOMMENDED SIX-YEAR CAPITAL PLAN

AND

PRESIDENT'S RECOMMENDED 2015 STATE CAPITAL BUDGET REQUEST

Chair Beeson invited Vice Presidents Richard Pfutzenreuter and Pamela Wheelock to join President Kaler in presenting the President's Recommended Six-Year Capital Plan (Capital Plan) and 2015 State Capital Budget Request as detailed in the docket materials. President Kaler introduced the items.

The Capital Plan establishes the next three University capital requests to be submitted to the state for consideration; sets priorities and direction for continued capital project and academic planning efforts; identifies the impact of additional University debt; assigns responsibility for capital fundraising; and forecasts additional building operational costs. The President's Recommended Six-Year Capital Plan includes major capital improvements planned for FY 2015-2020 and includes projects to be funded with state capital support as well as projects funded by the University through a combination of University debt obligations, local unit resources, fundraising, and public/private partnerships. Year 1 of the Capital Plan (2015) outlines the projects that the University will be submitting to the state for consideration during the 2015 legislative session.

Wheelock presented the Capital Plan objectives, which are to:

- Advance strategic plan priorities;
- Enhance the campus-based experience;
- Align projects with available revenue sources;
- Increase utilization and functionality of physical assets;
- Complete capital investment sequences; and
- Reduce total campus square footage.

In addition, the Capital Plan aligns with the 2014 Strategic Plan to:

- Build an exceptional University where grand societal challenges are addressed;
- Support excellence, and, with intention, reject complacency;
- Establish a culture of reciprocal engagement, capitalizing on the institution's unique location; and
- Aggressively recruit, retain, and promote field-shaping researchers and teachers.

Wheelock summarized several system-wide projects included in the Capital Plan and anticipated programmatic outcomes for each project. She discussed facility renewal, and the importance of the Higher Education Asset Preservation and Renovation (HEAPR) request as well as projects that are proposed for renewal using HEAPR funds. Wheelock also discussed potential decommissioning and demolition of space no longer useful or too expensive to repurpose or repair.

Pfutzenreuter presented financial planning parameters underlying the Capital Plan, which takes into consideration state bonding bills during even and odd numbered years. It assumes \$176 million in even numbered years and \$81 million in odd-numbered years, plus a

University contribution of 25 percent, to reach the total of just over \$1 billion for the total Capital Plan.

Wheelock reported that the President's Recommended 2015 State Capital Request contains three projects: HEAPR funds, the replacement of the Veterinary Isolation Laboratory, and the replacement of a greenhouse in the St. Paul area of the Twin Cities campus.

In response to questions from Regent Simmons, President Kaler indicated that the space impacts of the proposed Strategic Plan for the Twin Cities Campus will be around the research and curriculum-related grand challenges, but that it is premature to identify space needs at this time. He added that it is likely that a grand challenge will emerge around food and food safety, and current planned facility upgrades are consistent with that possibility.

The President's Recommended Six-Year Capital Plan and the President's Recommended 2015 State Capital Request will return for action at the October 2014 Board of Regents meeting.

REPORT OF THE FACILITIES & OPERATIONS COMMITTEE

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

- a) Approval of schematic plans for the following project as presented to the committee and described in the September 11, 2014 committee minutes:

- 1. Scholars Walk, Twin Cities Campus.

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

Allen reported that the committee also discussed the 2014-15 committee work plan; received a report on optimizing the University's physical assets: facilities condition assessment; reviewed project components of the President's recommended six-year capital plan and 2015 state capital budget request; discussed planning and vision for the Rochester campus; and discussed a number of information items included in the docket materials.

REPORT OF THE FACULTY & STAFF AFFAIRS COMMITTEE

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

- a) Approval of the Consent Report for the Faculty & Staff Affairs Committee as presented to the committee and described in the September 11, 2014 committee minutes.

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

Frobenius reported that the committee also discussed the 2014-15 committee work plan; received reports on how human resources provides value and on employee wellbeing; received an update on employee engagement; and reviewed a number of information items outlined in the docket materials.

REPORT OF THE FINANCE COMMITTEE

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

- a) Approval of the Consent Report for the Finance Committee as presented to the committee and described in the September 11, 2014 committee minutes.

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

McMillan reported that the committee also discussed the 2014-15 committee work plan; received an update on University tax compliance activities and programs; discussed the Annual Asset Management Report; reviewed financial components of the President's recommended FY 2016-17 biennial budget request and the President's recommended six-year capital plan and 2015 state capital request; received an update on debt capacity; and discussed a number of information items included in the docket materials.

REPORT OF THE ACADEMIC & STUDENT AFFAIRS COMMITTEE

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

- a) Approval of the Consent Report for the Academic & Student Affairs Committee as presented to the committee and described in the September 11, 2014 committee minutes.

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

Cohen reported that the committee also discussed the 2014-15 committee work plan; received the annual report on undergraduate, graduate and professional academic program changes; and received a report on sexual assault.

REPORT OF THE AUDIT COMMITTEE

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

- a) Approval of the Consent Report for the Audit Committee as presented to the committee and described in the September 11, 2014 committee minutes.
- b) Adoption of proposed amendments to the Office of Internal Audit: *Department Charter* as presented to the committee and described in the September 11, 2014 committee minutes.

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

Brod reported that the committee also discussed the 2014-15 committee work plan; received and discussed an information security risk primer; received an internal audit update; and discussed several information items contained in the docket materials.

REPORT OF THE LITIGATION REVIEW COMMITTEE

Chair Beeson reported that, pursuant to notice sent by the University, the Litigation Review Committee met on September 11, 2014. The committee met in public session to discuss the Annual Report on Legal Matters. A resolution was then considered and passed that authorized the closing of the meeting. In the closed meeting a discussion was held of matters subject to the attorney-client privilege.

REPORT OF THE SPECIAL COMMITTEE ON ACADEMIC MEDICINE

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

The meeting adjourned at 11:10 a.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Report of the President

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

This is a report required by Board policy.

Presenters: President Eric W. Kaler

Purpose & Key Points

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



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Report of the Chair

Review Review + Action Action Discussion

This is a report required by Board policy.

Presenters: Regent Richard Beeson

Purpose & Key Points

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



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Consent Report

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: Regent Richard Beeson

Purpose & Key Points

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

Items for consideration:

A. Report of the University Naming Committee

The President recommends approval of the Naming Committee recommendation forwarded to the Board of Regents in a letter dated October 2, 2014.

B. Summary of Expenditures

The President recommends approval of the Summary of Expenditures Report (attached).

C. Gifts

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

D. Appointments to University of Minnesota Foundation Board of Trustees

In accordance with Board of Regents Policy: *Appointments to Organizations and Boards*, the Board of Regents Chair, in consultation with the President, recommends nominees for Board-appointed seats on the University of Minnesota Foundation Board of Trustees.

President's Recommendation

The President recommends approval of the Consent Report.

UNIVERSITY OF MINNESOTA
 BOARD OF REGENTS
 SUMMARY OF EXPENDITURES
 GENERAL OPERATIONS & MAINTENANCE FUND
 FISCAL YEAR ENDING JUNE 30, 2014

	FY 2014			FY 2013		
	Budgeted Revenues / Expenditures	Actual Revenues / Expenditures	Percentage Expended	Budgeted Revenues / Expenditures	Actual Revenues / Expenditures	Percentage Expended
Beginning Balance (Prior Year Carryforward)	\$ 291,768	\$ 313,134		\$ 175,000	\$ 277,531	
<u>Revenues</u>						
Total Allocation	\$ 849,567	\$ 849,567		\$ 854,464	\$ 854,614	
Net Transfers	\$ -	\$ -		\$ -	\$ -	
Total Resources	\$ 1,141,335	\$ 1,162,701		\$ 1,029,464	\$ 1,132,145	
<u>Expenditures</u>						
Salaries	\$ 502,238	\$ 497,530	99.1%	\$ 515,886	\$ 456,749	88.5%
Fringe Benefits	\$ 174,200	\$ 169,800	97.5%	\$ 187,978	\$ 166,388	88.5%
Supplies, Equipment, Board Expenses, etc.	\$ 180,889	\$ 176,323	97.5%	\$ 224,748	\$ 195,874	87.2%
Total Expenditures	\$ 857,327	\$ 843,654	98.4%	\$ 928,612	\$ 819,011	88.2%
Ending Balance	\$ 284,008	\$ 319,047		\$ 100,852	\$ 313,134	

UNIVERSITY OF MINNESOTA				
PRESIDENT'S OFFICE				
SUMMARY OF EXPENDITURES				
GENERAL OPERATIONS AND MAINTENANCE FUND				
12 MONTHS ENDING JUNE 30TH, 2014				
(Unaudited)				
			CURRENT YEAR	PRIOR YEAR
	CURRENT BUDGET 2013/14	REVENUES/ EXPENDITURES 2013/14	CURRENT BUDGET 2012/13	REVENUES/ EXPENDITURES 2012/13
Beginning Balance (Prior Year Carry forward)	\$654,748	\$654,748	\$180,680	\$180,680
Revenues				
Total Year Allocation	\$3,278,256	\$3,278,256	\$3,317,038	\$3,317,038
Transfers In		\$189,322	\$545,200	\$562,533
Total Resources	\$3,933,004	\$4,122,326	\$4,042,918	\$4,060,251
Expenditures				
President's Office Salaries	\$1,640,247	\$1,631,944	\$1,610,287	\$1,597,872
President's Office Fringe Benefits	\$654,796	\$648,958	\$619,529	\$612,369
Supplies, Expense, Equipment Ofc of the President-General Operations	\$173,604	\$159,913	\$151,129	\$183,511
President's Travel	\$23,800	\$27,529	\$7,116	\$23,574
Academic/Programmatic Initiatives	\$431,851	\$380,113	\$489,440	\$527,107
University Wide Memberships	\$334,212	\$422,058	\$334,212	\$397,231
Earned retirement benefit payment*		\$175,000		
Sub Total Expenditures-President's Ofc	\$3,258,510	\$3,445,514	\$3,211,713	\$3,341,664
Eastcliff Management Office Salaries	\$51,575	\$21,364	\$72,967	\$26,501
Eastcliff Management Office Fringe Benefits	\$11,145	\$4,777	\$17,108	\$6,788
Supplies, Expense, Equipment Eastcliff Management Ofc-General Operations	\$8,299	\$5,307	\$47,712	\$30,551
Sub Total Expenditures-Eastcliff	\$71,019	\$31,447	\$137,787	\$63,839
Total Expenditures	\$3,329,529	\$3,476,962	\$3,349,500	\$3,405,503
Ending Balance	\$603,475	\$645,365	\$693,418	\$654,748

*Contractual obligation to Mark Yudof; transferred to OHR

University of Minnesota
Facilities Management and President's Office Summary of Expenditures for Eastcliff
General Operations and Maintenance Fund
12 Months Ending June 30, 2014
(unaudited)

	<i>CURRENT YEAR</i>			<i>PRIOR YEAR</i>		
	FM Eastcliff Management 2013/14	Eastcliff event Management 2013/14	TOTAL	FM Eastcliff Management 2012/13	Eastcliff event Management 2012/13	TOTAL
Beginning Balance (Prior Year Carry forward)		\$181,662	\$181,662	\$8,268	\$107,347	\$115,615
Revenues						
Total Year Allocation	\$258,945	\$87,847	\$346,792	\$229,131	\$138,154	\$367,285
Transfer from Office of the President			\$0	\$28,000		\$28,000
Transfer from Facilities Management	\$54,396			\$21,363		\$21,363
Transfer from the general contingency fund			\$0			\$0
Transfer from Central Reserves			\$0	\$69,852		\$69,852
Total Resources	\$313,341	\$269,509	\$528,454	\$356,614	\$245,501	\$602,115
Expenditures						
Salaries and Fringe Benefits	\$63,525	\$26,141	\$89,666	\$71,366	\$33,289	\$104,655
Supplies, Expense, Equipment	\$249,816	\$5,307	\$255,123	\$285,248	\$2,551	\$287,799
Transfer to FM			\$0		\$28,000	\$28,000
Transfer to/(from) the Eastcliff Project Reserve			\$0			\$0
Total Expenditures	\$313,341	\$31,448	\$344,789	\$356,614	\$63,839	\$420,453
Ending Balance	(\$0)	\$238,061	\$183,665	\$0	\$181,662	\$181,662

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

October 2014 Regents Meeting

	August		Year-to-Date	
	2014	2013	07/01/14 08/31/14	07/01/13 08/31/13
U of M Gift Receiving	\$ 25,361	\$ 78,858	\$ 46,204	\$ 121,762
4-H Foundation	37,241	45,872	207,473	62,431
Arboretum Foundation	3,071,304	401,774	3,402,595	2,615,583
Univ of MN Foundation	10,659,551	24,334,617	19,386,198	34,928,378
Total Gift Activity	\$ 13,793,457	\$ 24,861,121	\$23,042,470	\$ 37,728,154

*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 August 2014

<u>Donor</u>	<u>Rec'd by</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<u>\$1 Million and Over</u>			
Whitney and Betty MacMillan	UM	Pledge	Minnesota Landscape Arboretum
Leland N. and Louise C. Sundet	UMF	Pledge	Intercollegiate Athletics
Anonymous	UMF	Pledge	Law School
Dale E. and Jeri L. Peterson	UMF	Pledge	Intercollegiate Athletics
<u>\$500,000 - \$1,000,000</u>			
Charles L. Matsch Estate	UMF	Gift	University of Minnesota Duluth
Russell J. Penrose	UMF	Gift	College of Science and Engineering
Alfred M. Cady III and Toni M. Cady	UMF	Pledge	Intercollegiate Athletics
Gregory R. Page	UM	Pledge	Minnesota Landscape Arboretum
<u>\$250,000 - \$500,000</u>			
Evan and Betty Merz	UMF	Gift	Various Colleges
Betty Schwittek Estate	UMF	Gift	College of Science and Engineering
John A. Billman Estate	UMF	Gift	Various Colleges
Mary Lou Hoeft Estate	UMF	Gift	Minnesota Landscape Arboretum
Richard L. and Nancy Knowlton	UMF	Gift	Hormel Institute
Tawani Foundation	UMF	Pledge	Libraries
<u>\$100,000 - \$250,000</u>			
Monsanto Company	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Childrens Cancer Research Fund	UMF	Gift/Pledge	Academic Health Center
Natalie E. Cremer Estate	UMF	Gift	Financial Aid
William H. and Jane Dudley	UMF	Gift	Carlson School of Management, College of Liberal Arts, College of Veterinary Medicine
Dr. Norman D. Olson Estate	UMF	Gift	Medical School
Hormel Foundation	UMF	Gift	Hormel Institute
Ronald D. Olson	UM	Pledge	Minnesota Landscape Arboretum
S. Bartley Osborn Family Charitable Trust	UM	Pledge	Minnesota Landscape Arboretum

\$50,000 - \$100,000

Thomas P. Schnettler	UMF	Gift	Medical School
Anonymous	UMF/UM	Gift	College of Education and Human Development, Minnesota Landscape Arboretum
Dr. Daniel McFadden and Beverlee Simboli	UMF	Pledge	College of Liberal Arts, Weisman Art Museum
Dr. Ned W. and Christine E. Windmiller	UMF	Pledge	Intercollegiate Athletics
Janet J. Sinner Estate	UM	Gift	Minnesota Landscape Arboretum
Mary Lee Dayton Estate	UMF	Gift	Bell Museum of Natural History
Karl Potach Foundation	UMF	Gift	Hormel Institute
Dr. Dana J. and M. Katherine Harms	UMF	Pledge	Intercollegiate Athletics
Glyndon Farms Company	UMF	Pledge	University of Minnesota Extension
MeadWestvaco	UMF	Gift	College of Science and Engineering
Seiberlich Family Foundation	UMF	Gift	Medical School

\$25,000 - \$50,000

Wells Fargo Wealth Management	UMF	Gift	Intercollegiate Athletics
Donald E. Larson Estate	UMF	Gift	Medical School
Shirley A. Berglund Estate	UMF	Gift	School of Nursing
J. J. Taylor Distributing of Minnesota	UMF	Gift	Intercollegiate Athletics
Factory Motor Parts Company	UMF	Gift	Intercollegiate Athletics
The Karlson Family Foundation	UMF	Gift	Medical School
Minnesota Natural Resources Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Helen S. Henton Trust	UMF	Gift	Unrestricted
Russell Sage Foundation	UMF	Gift	Humphrey School of Public Affairs
Wendell and Judith Hung	UMF	Gift	College of Science and Engineering
eBioscience	UMF	Gift	Medical School
Ephraim M. Sparrow	UMF	Gift	College of Science and Engineering
Medtronic Incorporated	UMF	Gift	Medical School
Ruth A. Cardinal Estate	UMF	Gift	Academic Health Center
Dr. Kenneth J. and Kathryn Valentas	UMF	Gift	College of Science and Engineering
Ajinomoto Heartland Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Dr. Jolene M. Koester	UMF	Gift	Global Programs and Strategy Alliance
Ecolab Incorporated	UMF	Gift	College of Science and Engineering
Lockheed Martin Corporation	UMF	Gift	College of Science and Engineering
Pothapragada Family Fund-Fidelity	UMF	Gift	College of Biological Sciences
Charitable Gift Fund			
Ronald J. Peltier	UMF	Gift	Intercollegiate Athletics

\$25,000 - \$50,000

Wells Family Fund-Minneapolis Foundation	UMF	Gift	Medical School
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\$10,000 - \$25,000

Giner Incorporated	UMF	Gift	Medical School
Anonymous	UMF	Gift	Medical School
Wawa J. Thorson Estate	UM	Gift	Minnesota Landscape Arboretum
Dr. Craig R. Holt Estate	UMF	Gift	College of Science and Engineering
Max Kade Foundation Incorporated	UMF	Gift	College of Liberal Arts
Virginia A. and Dr. Walter Bailey	UMF	Gift	Medical School, College of Liberal Arts
Allergy Technologies LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
George Barany	UMF	Gift	College of Science and Engineering
Nancy and Warren MacKenzie Foundation	UMF	Gift	College of Liberal Arts, Weisman Art Museum
Roenigk Family Foundation	UMF	Gift	Medical School
Elaine D. Erickson Estate	UMF	Gift	College of Science and Engineering
J. R. Simplot Company	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Pipestone Applied Research LLC	UMF	Gift	College of Veterinary Medicine
Center for Computer-Assisted Legal Instruction	UMF	Gift	Law School
The Pentair Foundation	UM	Gift	Minnesota Landscape Arboretum
Thomson Reuters	UMF	Gift	Humphrey School of Public Affairs
Stand Up 2 Ataxia	UMF	Gift	Medical School
Coloplast Corporation	UMF	Gift	Carlson School of Management
Dr. Nathan E. and Elaine L. Ballou	UMF	Gift	University of Minnesota Duluth
First Security	UMF	Gift	Hormel Institute
Land O' Lakes Incorporated	UMF	Gift	Intercollegiate Athletics, 4H Foundation
Alexion Pharma Incorporated	UMF	Gift	Medical School
Michael D. Erickson	UMF	Gift	Intercollegiate Athletics
Scott and Staci Richardson	UMF	Gift	Intercollegiate Athletics
Dow AgroSciences LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Irene A. Tremblay	UMF	Gift	Medical School
National Relief Charities	UMF	Gift	University of Minnesota Morris
Jil Oswald-Matuseski	UMF	Gift	College of Pharmacy
Dr. Cameron J. Jayson Jr.	UM	Gift	School of Dentistry
Stacy D. Rubsam and Elizabeth F. Draxten	UMF	Gift	Carlson School of Management

\$10,000 - \$25,000

Association of American Medical Colleges	UMF	Gift	Medicine and Health
Boston Scientific Corporation	UMF	Gift	Research
Dave and Shannon Keller Charitable Fund	UMF	Gift	Academic Health Center
Dr. Charles A. Horwitz	UMF	Gift	Medical School
Dr. Harold W. Dixon Jr. and Maedell A. Dixon	UMF	Pledge	College of Liberal Arts
Jack and Gretchen Norqual Foundation-MN Community Foundation	UM	Gift	Minnesota Landscape Arboretum
John F. Grundhofer Charitable Foundation	UMF	Gift	Academic Health Center
Joseph and Leslie Miller	UMF	Gift	Medical School
Kevin L. Roberg	UMF	Gift	Medical School
Lawrence A. DuBose	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Mary K. and Richard C. Brainerd	UMF	Gift	Scholarships
Michael G. and Diane N. Roche	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Pelican Lake Association of Crow Wing County	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Richard C. McCullough	UMF	Gift	Intercollegiate Athletics
Schlumberger Foundation Incorporated	UMF	Gift	College of Science and Engineering
The Bergquist Company	UMF	Gift	College of Science and Engineering
Trek Bicycle	UMF	Gift	Humphrey School of Public Affairs
W. and J. Dairy	UMF	Gift	Medical School

\$5,000 - \$10,000

Jenny L. Verner	UM	Gift	Minnesota Landscape Arboretum
Arvid Olson Estate	UMF	Gift	Medical School
Harvey A. Bartz	UMF	Gift	Academic Health Center
Regis Corporation	UMF	Gift	Academic Health Center
Karen Wyckoff Rein in Sarcoma Foundation	UMF	Gift	Academic Health Center
Sweitzer Foundation	UMF	Gift	Academic Health Center, Medical School
Erwin L. Weber Trust	UMF	Gift	Scholarships
Dr. Scott D. Augustine	UMF	Gift	Intercollegiate Athletics
Syvilla M. Turbis Estate	UMF	Gift	Medical School, Academic Health Center

\$5,000 - \$10,000

Target Corporation	UMF	Gift	Law School, Carlson School of Management
Steven D. Stinski	UMF	Gift	Intercollegiate Athletics
Wells Fargo Foundation	UMF	Pledge	Various Colleges
IBM International Foundation	UMF	Pledge	4H Foundation, College of Science and Engineering
Kristine F. Miller	UMF	Gift	College of Design
Ankha Shamin Estate	UMF	Gift	Libraries
Ardent Mills LLC	UMF	Gift	Unrestricted
Eide Bailly LLP	UMF	Gift	Carlson School of Management
Lake Region Medical	UMF	Gift	College of Science and Engineering
Bertha A. Lewis Estate	UMF	Gift	University of Minnesota Extension
Barr Engineering Company	UMF/UM	Gift	University of Minnesota Duluth, Minnesota Landscape Arboretum
Helen Cheng and Benjamin Y. H. Liu	UMF	Gift	College of Liberal Arts, Northrop
Minnesota Soybean Growers Association	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
James H. and Mary B. Hammill	UMF	Gift	Various Colleges
Irene M. Ott	UMF	Gift	College of Education and Human Development
Carolyn A. Erickson	UMF	Gift	Intercollegiate Athletics
Dairy Farmers of America Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
A. Peter Hilger	UMF	Gift	College of Continuing Education
American Board of Psychiatry and Neurology Incorporated	UMF	Gift	Medical School
Anonymous	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Betsy Packard	UM	Gift	Minnesota Landscape Arboretum
Dr. Tobin H. and Susan F. Jones	UMF	Gift	College of Liberal Arts
Dr. Valerie and David Pace	UMF	Gift	4H Foundation
Ernest I. Fink Agency Incorporated	UMF	Gift	Medical School
Intel Foundation	UMF	Pledge	College of Science and Engineering
John E. Drawz	UMF	Gift	Intercollegiate Athletics
John Knutson	UMF	Gift	Scholarships
Joseph M. Finley	UMF	Gift	Medical School
Kaplan Strangis and Kaplan PA	UMF	Gift	Law School
KPMG LLP	UMF	Gift	Academic Health Center
Lamarche Creek Foundation	UMF	Gift	University of Minnesota Duluth
MarQuinn Investments Incorporated	UMF	Gift	Intercollegiate Athletics
Minnehaha Creek Watershed District	UM	Gift	Minnesota Landscape Arboretum

\$5,000 - \$10,000

Minnesota Association of Endodontics	UMF	Gift	School of Dentistry
Mordecai and Suzanne Duckler	UMF	Gift	Medical School
Polaris Industries Incorporated	UM	Gift	College of Science and Engineering
Richard J. and Elizabeth B. Kleber	UMF	Gift	Medical School
Robert and Susan Greenberg	UMF	Gift	Intercollegiate Athletics
Robert W. Carlson Foundation	UMF	Gift	Intercollegiate Athletics
Speer Charitable Trust	UMF	Gift	College of Science and Engineering
The Donaldson Foundation	UM	Gift	Minnesota Landscape Arboretum
The Markus Charitable Foundation	UMF	Gift	Intercollegiate Athletics
The Minneapolis Foundation	UMF	Gift	Carlson School of Management
Theodore V. Galambos	UMF	Gift	College of Science and Engineering
William C. Peterson	UMF	Gift	Intercollegiate Athletics
Winthrop and Weinstine PA	UMF	Gift	Law School
Wisconsin Honey Producers Association	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences

Board of Regents
Appointments to the University of Minnesota Foundation Board of Trustees
October 10, 2014

The Honorable David J. McMillan (term expires in 2017)

David McMillan was elected as a Regent of the University of Minnesota in 2011, representing the 8th Congressional District. He is Executive Vice President, Minnesota Power, where he has served in a variety of roles since 1989. He received a bachelor of arts degree in economics and history from the University of Minnesota Duluth and a law degree from the University of Minnesota. McMillan has extensive board experience, previously serving as the board chair of the Minnesota Chamber of Commerce, the Natural Resources Research Institute, the Area Partnership for Economic Expansion, and Goodwill Industrial Vocational Enterprises. Active in his community, he is a past member of the Duluth Entertainment Convention Center's Board of Directors and currently is on the Board of Directors of St. Luke's Hospital.

David Meyer (term expires in 2017)

David Meyer is the Chairman and CEO of Titan Machinery Inc., founded in 1980 and headquartered in West Fargo, ND. The Company owns and operates a network of full service agricultural and construction equipment stores in the United States and Europe. The Titan Machinery network consists of 97 North American dealerships in North Dakota, South Dakota, Iowa, Minnesota, Montana, Nebraska, Wyoming, Wisconsin, Colorado, Arizona, and New Mexico including three outlet stores, and 16 European dealerships in Romania, Bulgaria, Serbia, and Ukraine. The Titan Machinery dealerships represent one or more of the CNH Industrial Brands, including CaseIH, New Holland Agriculture, Case Construction, New Holland Construction, and CNH Industrial Capital. Titan Machinery employs nearly 2900 employees worldwide. Meyer is a 1975 graduate of the University of Minnesota. In 1975, he was employed by Case Company. vFrom 1976 to 1980, David was a partner in a Case and New Holland dealership with locations in Lisbon and Wahpeton, ND. He was co-founder of Ransom and Richland County Implement (now known as Titan Machinery Inc.) in 1980. Meyer is a past member of the CaseIH Dealer Advisory Board, the past President of the North Dakota CaseIH Roughrider Group, former Board Member of the Lisbon School Board, past member of Lisbon Economic Development, past Board Member of the CHI Lisbon Health Hospital Board, past member of the FCSN Foundation Board, and former St. Aloysius Church Trustee. Currently Meyer serves on the ASI Board of Directors and is a past President and current Board Member of the North Dakota Implement Dealers Association. In 1991, he received the Friend of 4-H award and has an

honorary FFA degree. In 2009, he received the Ernst & Young Entrepreneur of the Year Award.

Simon K. Wong (After 3 terms as a UMF nominee is becoming a Regent nominee. Term expires in 2017 with eligibility to be renewed for one additional term as a Regent-nominated trustee)

Simon Wong began his first term as UMF trustee in 2005 and is the current chapter of UMAA-Hong Kong. He is the founder, chairman, and managing director of the Kampery Group, headquartered in Hong Kong with regional offices throughout China and Canada. Kampery's business includes manufacturing, wholesale, retail and export of coffee, tea, coffee machines, dairy products, health and organic products. Wong is an adjunct professor of the faculty of business of the City University of Hong Kong. His extensive board experience includes Member, Advisory Council on the Environment, Hong Kong; Member, Expert Committee on Food Safety, Hong Kong; Advisory Committee on Agriculture and Fisheries, Hong Kong; Member, Occupational Safety and Health Council, Hong Kong; Member, China Trade Consultation Committee of Hong Kong Trade Development Council; President, Hong Kong Federation of Restaurants & Related Trades; Director, Community Chest of Hong Kong; Director, Chinese Manufacturer's Association of Hong Kong; Vice President, Hong Kong Food Council; Honorary Vice President, Hong Kong Girl Guides Association; Chairman, Scout Association of Hong Kong – East Kowloon Region.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents Meeting

October 10, 2014

Agenda Item: Strategic Plan for the Twin Cities Campus

Review Review + Action Action Discussion

This is a report required by Board policy.

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

Purpose & Key Points

The strategic plan for the Twin Cities campus returns to the Board in October for action. Following discussion of a completed draft plan at the September 12, 2014 meeting, comments were invited from September 15–25, with discussions of the plan also taking place at meetings of the University Senate, Operational Excellence Team, Faculty Consultative Committee, Twin Cities Deans, System Council, and President’s Senior Leadership Group. We have continued to share updates and progress with the campus community, solicited feedback from stakeholders, and worked to make sure the plan reflects diverse voices and perspectives. The plan being presented to the Board has been informed by the broad array of comments during this phase of the feedback process, including from members of the Board.

The University of Minnesota-Twin Cities will be preeminent in solving the grand challenges of a diverse and changing world. With that overarching vision, the strategic plan will chart a strong course for the future as a dynamic 21st-century land-grant research institution. The plan articulates a vision and priorities for the next decade that build on the campus’ exceptional strengths and opportunities as one of the country’s most comprehensive research universities and one of the few located in a large metropolitan area. It aims to create new 21st-century learning and career pathways for students, build more campus-community-industry partnerships, and combine University strengths more broadly and deeply to address “grand challenges”—the most pressing and complex problems facing the state, nation, and world.

The plan calls on the University to:

- Harness and leverage the depth and breadth of our research and curricular strengths to address grand societal challenges;
- Develop and maintain a culture that supports excellence and explicitly rejects complacency at all levels of the institution;
- Foster reciprocal engagement with our various communities and industry partnerships and capitalize on our unique location; and
- Aggressively recruit, retain, and promote field-shaping researchers and teachers.

The plan articulates a 10-year vision to guide strategic decision-making and includes specific action steps for the next 3–5 years. The 30-member Strategic Planning Workgroup broadened to include five issue teams, which met over the summer on key issues related to the vision and implementation of each of the goals. These teams included about 150 faculty, staff, and students, drawn from over 500 nominations; each team was co-chaired by members of the Strategic Planning Workgroup. (Information is posted on the [Strategic Planning Blog](#).) Listening sessions with updates from each of the five issue teams were held in July and August, and a Campus Conversation with the president and provost was held in early September. This comprehensive and inclusive planning process informed the development of a strategic planning framework to advance the vision and to create a better, stronger, more vitally engaged University.

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

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

Background Information

President Kaler outlined the goals for the strategic plan and planning process at the September 2013 Board meeting, embracing an overall goal of increasing the University's impact and reputation. This plan will be a Twin Cities campus plan, but one that intersects with those of the other campuses and aligns with current collegiate/unit strategic plans and major current initiatives. The plan will be bold, inspirational and aspirational, articulating a 10-year vision and specific action steps for the next 3-5 years. The campus community must own and advocate for the plan, and it must reflect the broad diversity of our institution, our state, and our students.

President Kaler and Provost Hanson provided updates to the Board in October, December, March, and September. An update was also provided to the Academic and Student Affairs Committee in June.

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

At the December 13, 2013 Board meeting, Provost Hanson presented the draft vision, values, foundational commitments, and guiding principles language to obtain input and feedback; vision language was subsequently enhanced and presented again at the March 2014 meeting. The vision, mission and core values statements informed key objectives and strategies for the strategic plan.

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

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

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

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

At the September 12, 2014 Board meeting, President Kaler and Provost Hanson presented the strategic plan to the Board for review and discussion, prior to final review and action at the October meeting. They provided an introduction and overview, followed by brief updates from five faculty Strategic Planning Workgroup members and Issue Team co-leads (Professors Jakub Tolar, Joe Konstan, Renee Cheng, Liz Lightfoot, Timothy Kehoe) and from a student representative on the workgroup (Ph.D. Candidate Meghan Mason). A question and answer period followed, with strong support conveyed by the Board during the discussion. We have drawn on constructive feedback from the Board and from the campus community to fine-tune the plan ahead of the October Board meeting.

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

The plan as approved by the Board will be a framework for a more detailed set of specific goals, outcomes, and implementation steps. Beginning in fall 2014, resources and work plans will be aligned with the plan, which will be incorporated into ongoing academic planning by the provost to:

- Develop meaningful indicators for excellence;
- Integrate into compact planning;
- Connect the Twin Cities campus plan with plans of academic and administrative units;
- Advance action plans to achieve goals derived from the compact planning; and
- Share successes and report outcomes.

A Strategic Planning Continuity Team (to include representatives of the Strategic Planning Workgroup) will advise the president and provost on implementation priorities and next steps, including benchmarks to measure progress; a discussion of plan metrics will come to the Board of Regents for discussion in March 2015. A Budget Resource Group will be charged with identifying optimal funding strategies.

Concurrently, the Provost's Office will coordinate an ongoing process of communication and engagement with the campus community and external stakeholders to continue to refine the plan as a dynamic framework—one that advances the mission of the University of Minnesota, reflects shared aspirations, and meets the challenges and contingencies of a diverse and changing world.



A STRATEGIC PLAN

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

OCTOBER 2014

A Strategic Plan for the University of Minnesota Twin Clities | October 2014

strategic-planning.umn.edu

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

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Foreword

To the Twin Cities campus community and citizens of Minnesota,

Now the work begins.

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

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

The result—our new Grand Challenges agenda, which is articulated here—is ambitious and focused. It is intended to improve lives, solve problems, own a global perspective, renew our curriculum, touch our local communities in new ways, boost energy and creativity among our faculty and students, and reenvision the work of the American land-grant research university. This vision, too, assumes access to an excellent education for the next generation of leaders, affordability for our students from all economic backgrounds, and a deep commitment to diversity, which will create a welcoming campus climate for all of our students, faculty, and staff. These are core commitments. With hard work and collaboration, the goals of this plan are achievable.

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

Sincerely,



Eric W. Kaler
President

Introduction

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

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

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

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

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

Few institutions are as comprehensive as ours, or as distinguished on so many levels: world-leading research, outstanding graduate and undergraduate teaching, and path-breaking interdisciplinary work. In our classrooms and research labs, in studios

continued >

and seminars, in clinics and extension offices, and through collaborations in today's unbounded virtual spaces, our faculty, staff, and students already are deeply involved in addressing important and difficult issues—from disease to biodiversity to the pressing problems of hunger, poverty, and intolerance.

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

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

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

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

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



Karen Hanson
Senior Vice President for Academic Affairs and Provost

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Foundational Documents

University of Minnesota Mission

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

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

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

University of Minnesota Board of Regents Policy, last amended 2008

Strategic Planning

Foundational Commitments and Principles

Foundational Commitments

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

Guiding Principles

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

Strategic Planning Workgroup, 2014

Our Vision

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

We will:

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

Strategic Planning Workgroup, 2014

Vision and Supporting Goals

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



Strategic Plan Overview >

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

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

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

FINAL REPORT | OCTOBER 2014

Report of the Strategic Planning Workgroup
University of Minnesota Twin Cities

UNIVERSITY OF MINNESOTA
Driven to DiscoverSM

Prefatory Note

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

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

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

We here present this work as an ensemble of the reports from the five teams, all of which were guided by the overarching vision that links the defined goals.

The plan involves a 10-year vision but highlights steps we can take over the next three to five years to advance this vision and to create a better, stronger, more vitally engaged, and more effective University. We intend this to be the starting point for action but also for further discussion, because this planning framework is meant to be a dynamic one. We will need to work together to implement the plan, and, throughout, we will need to be alert to new opportunities and willing to abandon failed experiments. Most of all, we will need to make sure that our efforts advance our mission, reflect our shared aspirations, serve our students and stakeholders, and meet the challenges and contingencies of a diverse and changing world.

—Provost Karen Hanson and the Strategic Planning Workgroup, October 2014

Strategic Planning Workgroup

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

Neil Anderson, Director, University of Minnesota Extension

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Jakub Tolar, Professor, Medical School

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Pamela Wheelock, Vice President for University Services and Chief Operations Officer*

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

Aks Zaheer, Professor, Carlson School of Management

**denotes executive committee member*

REPORT OF THE STRATEGIC PLANNING WORKGROUP
UNIVERSITY OF MINNESOTA TWIN CITIES

Embracing Excellence and Rejecting Complacency

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

Strategic Planning Workgroup

Embracing Excellence and Rejecting Complacency

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Jakub Tolar, Professor, Pediatrics; Corniea Chair, Pediatric Blood and Marrow Transplantation; Director, University of Minnesota Stem Cell Institute
Christopher Uggen, Distinguished McKnight Professor, Sociology; Vice Chair, Faculty Consultative Committee
Connie Wanberg, Faculty Excellence Chair and Professor, Human Resources and Industrial Relations, Carlson School of Management
Pamela Wheelock, Vice President for University Services and Chief Operations Officer

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

Introduction

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

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

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

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

Examples of Complacency

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

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

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

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

Rejecting

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

Examples of Rejecting

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

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

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

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

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

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

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

Strategies

Transformative Vision

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

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

A culture that supports such an atmosphere of achievement—among faculty, staff, and students—will produce more and qualitatively better research, teaching, and engagement in fulfillment of the University’s mission. It will also create an intra-campus dynamism that is the key to our larger institutional goals of transformation.

Major Players

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

Action Steps

- Use unit compacts and departmental budget requests to determine how units are constructing environments that support and sustain creativity and innovation, while rejecting complacency.
- Identify sensitive research metrics to address impact (e.g., scholarly citations but also public attention), in addition to raw productivity measures (e.g., grants, articles, exhibitions, and performances).
- Learn about and adapt knowledge from innovative organizations inside and outside higher education.

- Create new benchmarks for University performance on engagement and innovation in comparison with aspirational peers and our Committee on Institutional Cooperation peer institutions; identify areas of relative strength and weakness.
- Identify student and employee concerns and ideas to use in developing metrics to track change within units and in the University as a whole. For example: tracking over time employee responses to the survey item: “*I feel stimulated to be innovative and excel in my work,*” and tracking students’ satisfaction with their academic and social experiences through the “Student Experience in a Research University” survey and other means. Focus attention on illuminating significant differences in responses among diverse groups. Consider what new instruments or benchmarks may be needed at individual, unit, and campuswide levels to more broadly assess institutional cultural change over time.
- Strengthen and more vigorously support systems to make it easier for staff to develop satisfying long-term careers. This need not necessarily always be awards and monetary incentives. Fine-tune professional development programs to mirror employees’ interests, support better-defined campus career paths, and make it easier for employees to embrace new opportunities along a career arc—rewarding excellence and helping the University retain experienced employees who are ready for new challenges.

“Must Do” 1

Better align our time and money with our strategic priorities

Rationale: To recognize and support true scholarship and innovation, we must reward excellence and success through our merit systems, encourage risks and contrarian views, and step outside of our comfort zones as individuals and teams. Institutional improvements in business processes—such as “Operational Excellence” and cost benchmarking—make our operations more efficient and free up funds for strategic priorities. But too often across the University our time, money, and energy are frittered away—or simply spread too thin—because we fail to make difficult choices or to invest in our stated priorities.

We must not allow urgent but trivial matters to squeeze out important and innovative research, teaching, and community engagement; to dilute focused efforts to strengthen diversity and other priorities; or to work with intention to create a dynamic and creative University culture.

Major Players

- Office of the Provost
- Deans
- Office of the Vice President for Research
- Vice President for Health Sciences
- Office of Human Resources
- Finance and Planning
- University of Minnesota Alumni Association (as a key partner) and alumni relations staff

Action Steps

- Have clear priorities, clearly communicated, that allow everyone to understand how resources (time, money, etc.) are to be invested.
- Define clear expectations for how deans and unit heads will be held accountable for aligning programmatic decisions and resource allocations with strategic priorities.
- Recognize that time is money. What may appear as cost savings in a quantifiable area may be wasteful of a far greater amount of valuable time and energy.
- Turn off projects that have run their course.
- Hold students to high academic standards. Develop a strategy to address “grade inflation” at the college and campus level.
- Provide mentoring, leadership, and academic administrative training to department chairs and center directors, recognizing that effective stewardship of academic units is essential to strategic goals and institutional quality.
- Take corrective action when students, staff, or faculty consistently fall short of expectations.
- Affirm and strengthen our reward and recognition systems, identifying and celebrating innovations that fulfill the University’s mission.
- Consider the feasibility of non-monetary incentives, as supplemental to compensation, that could be offered to employees to recognize and promote innovation and enterprise.
- Provide all employees with regular and meaningful feedback on their performance.
- Implement and maintain regular and meaningful post-tenure review of faculty.
- Provide appropriate retirement incentives as well as opportunities for the many emeritus faculty who wish to continue service to the University.
- Evaluate expanding use of differentiated workloads and rewards.
- Consider extending the one-year contracts for professional and administrative staff so as to increase engagement and risk-taking, and to reduce transaction costs.
- Identify employee concerns and ideas to use in developing metrics to track change. For example, track over time the response to the survey question: *“My time is used efficiently and I am able to do my work effectively.”*
- Affirm and strengthen relationships with alumni; engage alumni more deeply as collaborators in discovery and learning, as student mentors, as lifelong learners, and as crucial advocates who will help sustain the University for future generations.

“Must Do” 2

Commit to a broad campus climate initiative that simultaneously pursues diversity, accountability, and civility—as well as academic freedom— as foundational values of our University community

Rationale: We need to become a more welcoming place. To some, “Minnesota nice” is code for avoidance of difficult conversations. This stifles both accountability and innovation, while prolonging rather than addressing the underlying problems. Having the skills and authority to

address abusive or problematic employee behavior at all levels will facilitate changing both the culture and the incentive systems.

We also need to consider the general climate and culture of the University. We need to advance thoughtful and vigorous dialogue about difficult issues. This is consistent with our foundational commitments to open intellectual inquiry and free expression, to academic freedom and its attendant responsibilities. We also need more focused efforts to make good on our shared commitment to equity and diversity as core values of our institution. This includes ensuring that faculty, staff, and students at all levels reflect the diversity of fast-growing but underrepresented racial and ethnic groups in Minnesota—and the diversity of the country and world. It includes strong support for global engagement and exchange in research and teaching and in the broader range of experiences we provide students. It includes integrative efforts to create and to sustain a welcoming and inclusive campus environment across every unit of the University. More broadly, it includes institutional efforts to address critical issues of educational opportunity and access as integral to our public mission.

Major Players

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

Action Steps

- Conduct exit interviews with departing faculty, staff, and students to identify barriers and areas for improvement.
- Improve training for leaders and supervisors (including department heads) that teaches them how to conduct effective performance reviews and create participatory leadership. Establish greater conflict resolution capacity to expeditiously address abusive, obstructionist, and dilatory behavior.
- Make access, diversity, and inclusiveness a cornerstone of efforts to improve the health and functioning of the University and to create more welcoming conditions for all members of our campus community.
- Develop faculty and staff training to improve teaching and service to an increasingly diverse student population.
- Explore ways to use digital technology to leverage the capacity of our place-based research university to broaden educational access and enrich research and teaching through global exchanges of ideas.

- Provide opportunities and recognition for improvement or service projects for individuals and units.
- Identify survey items and other metrics to track disparities in satisfaction and engagement. For example: *“I am treated with respect and courtesy.”*

“Quick-Win” 1

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

Rationale: Many hours are wasted on unneeded and unexplained paperwork and permissions, making University authorities seem both oppressive and out of touch. The president’s “Operational Excellence” and the “risk recalibration” efforts of the Office of the Vice President for Research have helped in this regard, but we must go farther if we are to remove the routine blocks that needlessly delay our progress. New colleagues who have worked in other institutions—whether large or small, public or private—consistently tell us that it takes more time and effort to get things done at our University.

Finding ways to expedite simple equipment purchases, efficiently submit grant applications, quickly appoint students to funded projects, renew software licenses, and reimburse minor expenses will save a tremendous number of person-hours.

Major Players

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

Action Steps

- Each unit or workgroup creates a “Stop Doing” list in addition to a “To-Do” list.
- Gather “stop doing” suggestions more broadly from faculty and staff
- Challenge each unit to reclaim and repurpose 25 percent of the time spent in meetings this year.
- Look for ways to simplify common academic administrative processes that departments and faculty frequently find unduly time-consuming.
- In leadership training, provide advice and examples on how to remove barriers that get in the way of our ability to perform our core research, teaching, and service missions.

- Identify survey items and other metrics to track change. For example: *“I have the authority I need to do what is necessary to accomplish my goals.”*

“Quick-Win” 2

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

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

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

Major Players

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

Action Steps

- Include a “troubleshooting,” ombudsperson role in the responsibilities of a staff person in the president’s, the provost’s, and/or the deans’ offices. This person would build relationships at all levels of the schools and colleges to support problem-spotting and swift problem resolution.

- Set an expectation that chairs and directors will “walk around” to visit various offices, labs, and studios several times each semester—and will share what they’ve learned with the faculty and staff in their units and with deans and other administrative leaders.
- Enhance communications with students and graduates in their early career years—not only to cultivate dedicated alumni, but also to provide timely and systematic information to programs and advisors.
- Identify survey items and other metrics to track change. For example: *“The University is making progress in reducing the impediments to my success.”*

Final Thoughts

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

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

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

REPORT OF THE STRATEGIC PLANNING WORKGROUP
UNIVERSITY OF MINNESOTA TWIN CITIES

Grand Challenges— Research

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

Strategic Planning Workgroup

Grand Challenges—Research

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

Introduction

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

Transforming the University

Our institution has almost unparalleled breadth and depth to marshal toward the large collaborative efforts needed to solve complex and critical challenges, the difficult and pressing issues facing our region and the world. Leveraging our unique strengths in such collaborations is crucial to advancing the University of Minnesota as a land-grant research university with both global and local impact. Creating a more coherent and coordinated cross-disciplinary approach to these challenges will attract new recognition and new funding for the University and will provide invigorating new opportunities for faculty, students, and staff. It will enrich the education we provide to our students; and enhance our collaborations with external stakeholders for the good of our state and the world.

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

Overarching Observations

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

breadth of talent at the University of Minnesota. We not only outline explicit mechanisms for recognizing interdisciplinary grand-challenge work in promotion and tenure (and annual merit review), but also identify creative ideas for extra-collegiate structures that have the resources to support significant collaborative efforts. Extra-collegiate collaborations can be advanced by strategies such as cluster hires coordinated across varied units and the creation of an interdisciplinary promotion-and-tenure “track” that allows faculty review to stretch across multiple colleges. The Institute on the Environment (IonE) is one good model that could be replicated; at the same time, the University should also explore and even experiment with multiple models or “nodes” of innovation/impact. The University should also consider mechanisms to provide faculty with workload flexibility so that they can move some of their effort into other University units. All of these strategies (cluster hiring in particular) also can be important means of expanding the cultural diversity of our faculty (and in turn, of our students).

- The University of Minnesota can best advance grand-challenges collaborations by allocating resources in ways that are synergistic with the budget allocations of existing colleges. Moreover, for such efforts to fully succeed, they need to be net positive. Done right, a coordinated cross-university interdisciplinary approach to grand challenges of compelling public interest should provide opportunities for the University to access new funding sources through a coordinated and coherent approach to policymakers, funders, and corporate partners supportive of the University’s priorities.
- Centers and institutes run the risk of becoming closed enclaves, especially once resources are allocated. Mechanisms for nurturing and growing collaborations and assuring continuous improvement through substantive evaluation of impact and outcomes (for both external and internal stakeholders) are critical. The University should continue to invest in those centers and institutes whose contributions to the institution’s mission remain well-focused and effective (as determined by regular review). Those centers and institutes that are not successful, along with those that have successfully completed their missions, should be closed.
- A key task will be promoting faculty and student awareness of the breadth of research and creative work across our large University. Effective strategies (such as cross-disciplinary learning communities and research exploration groups) must be developed to foster the connections that lead to meaningful collaborations among faculty—and among graduate and undergraduate students—working in different areas of the University. Engagement and collaboration between University researchers and stakeholders outside the University must also be promoted.

A number of models exist to effect such connections, but they are too infrequently used both within the University and with outside partners. Substantive collaborations with communities and with business and industry will be most effective if they are part of a concerted effort by the University to work with organizations to address pressing challenges. To realize its grand-challenges vision, the University must work more aggressively to facilitate mission-aligned collaborations that serve the needs of industry and the public and

that provide faculty with opportunities for important work. This work must also be recognized appropriately in promotion-and-tenure and merit review policies.

- Grand-challenges research collaborations will require differing levels of support based on the stage and nature of the relevant ideas. Significant support may be required to propel and further elevate large existing teams, but some work may need only modest financial commitments or seed funding. The University should establish an appropriate plan for seeding and supporting collaborations and should give consideration to a mechanism that would allocate to each faculty member resources earmarked for collaborative activities (for example, 1/4 course and \$10,000 per year) with the condition that these resources could only be used—for student support, equipment, etc.—when pooled together with a sufficiently large and diverse team (say, five faculty from three colleges). This sort of plan must include mechanisms for oversight and accountability, but the idea is that it would increase prospects for generating new and promising initiatives at a level where the work is in fact done.

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

The Shape and Nature of Grand Challenges

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

- Understanding the brain
- Curing cancer; curing diabetes; curing or preventing a major disease not already the focus of many broad-based efforts by other states/institutions
- Addressing critical environmental challenges/climate change/sustainability
- Ending war
- Ending poverty
- Advancing understanding of immigration and migration; advancing understanding of issues of race and racism—locally, nationally, and globally; addressing inequality; strengthening cultural understanding (race, ethnicity, national origin)
- Addressing challenges involving water; rivers; the Mississippi

- Addressing hunger and food security; addressing other food-related challenges, such as food safety and distribution
- Advancing robotics to solve human problems and enhance prosperity
- Using “big data” and informatics for social advancement
- Establishing zero-net-pollution communities
- Reestablishing Minnesota’s claim to the best K–12 education in the nation
- Becoming the healthiest state in both mind and body; sustaining health and well-being on a larger geographical scale
- Enhancing and disseminating the social impact of the arts
- Reversing the biodiversity crisis

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

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

Key Criteria for Grand Challenges

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

- **Global impact:** Grand challenges are not trivial problems. They should be selected carefully, informed by a long-term vision and with an expectation of globally significant results. They must also be relevant locally to the University community and its greater Minnesota partners, underscoring the University’s responsibility and commitment to produce knowledge benefiting the state and its local communities.

Work on these challenges will require time and material resources. Investing in, engaging, having impact on, and eventually solving a particular grand challenge will give the University both immediate and long-lasting recognition that can motivate and organize future grand challenge “victories.” Salient examples of effective solutions to grand challenges include alumnus Norman Borlaug’s techniques for revolutionizing farming and crop yields that have benefited billions of people worldwide, and Professor Robert Vince’s invention of the HIV drug

abacavir that has helped to save the lives of millions of people. The fact that a solution to one grand challenge may lead to others—as the “Green Revolution” has made salient new environmental issues—is not an obstacle but a point in favor of the dynamism of our approach.

- **Build on current faculty strength and leadership.** The grand challenges addressed by the University should both fit and leverage the existing scholarly strengths and activities of the faculty. Successful challenge-related efforts will emerge from what faculty are already pursuing, particularly if faculty have opportunities to strengthen connections with faculty and students from other areas. While we recognize the advantage of strategic recruiting and cluster hires to build research capacity in specified areas, we propose an 80/20 rule: a challenge for which we don’t already have 80 percent of the faculty talent we need to build a productive collaboration is too far from our current strengths to tackle.

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

- **Disciplinary diversity.** Research grand challenges must have impact on and involve more than one academic discipline. Success in addressing a challenge of significant scale and complexity requires expertise from multiple fields of knowledge. The University should take advantage of its exceptional breadth of strengths and look for opportunities to bring together research perspectives and methodologies from diverse disciplines. Many of the grand challenges we suggest would draw on the expertise of faculty from the humanities, the arts, the social sciences, the STEM (science, technology, engineering, and mathematics) fields, and the professional schools—medicine and the health sciences, law, and others.
- **Impact on the University and its reputation.** Challenges should be evaluated based on their potential to advance the University’s scholarly leadership in the challenge area, as well as its national and global status. We must judge realistically whether we can be international leaders on the topic of the challenge, looking broadly at the resources and strategic assets we would bring—faculty, staff, students, financial resources, collaborators and partners, and local assets or advantages.
- **Suitability for a land-grant research university.** The University of Minnesota should be focusing on challenges that are not small problems of implementation or weakness of will, but that also require for their solution fundamental disciplinary advances. Of course, those advances may be in the areas of policy and behavioral change. Issues of motivation, political efficacy, and will are crucial in any search for solutions to grand challenges, as are the complexities of implementation. Breakthrough discoveries or technologies that are not fully adopted are not truly solutions: for example, the epidemic of obesity that leads to disease is a critical challenge precisely because its solution will require major advances in our understanding of human behavior. The basic point remains: the challenges we take up should

always be ones that fundamentally require our research power and creative activity, whether in natural or social sciences, the humanities, or the arts.

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

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

In addition to its many constituencies in Minnesota and the Midwest, our University also boasts a *global* network of national and international partners—government agencies, intergovernmental agencies, universities, and private-sector and nonprofit partners that act with the University of Minnesota on a global stage. In an increasingly complex and interconnected world, the University’s longstanding strengths in international and intercultural research and education—and its ability to engage wide-ranging external constituencies in grand-challenges collaborations—offer tremendous advantages for our institution, our students, and state.

- **Sustainability.** We recommend that dedication of effort to a grand challenge should be understood to involve support of that effort for at least 10 years—a timeline commensurate with the scale and complexity of these problems. Various challenges should be evaluated based on our capacity to sustain effort over time, whether that sustenance comes from grants

from government agencies and foundations, support from industry, state funding, University development efforts, ticket sales and other user/patron charges, or other sources.

Selecting Our Next Grand Challenges

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

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

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

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

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

Strategies

Transformational Vision

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

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

“Must Do” 1

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

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

“Must Do” 2

Identify resources to meet the research challenge goals and align additional fund-raising efforts as appropriate.

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

“Quick-Win” 1

Jump-start institutional transformation by elevating and broadening select existing areas of interdisciplinary strength and focus that instantiate a “Grand Challenge” approach (with additional grand-challenges priorities to be identified by the campus community over the next year).

Given the symbiotic nature of grand-challenges research and institutional transformation, it is important to step into action immediately, even though it is likely that a process for selecting our *next* challenges will take 6–12 months. Accordingly, we must recognize that there are already important interdisciplinary efforts under way, in grand-challenge areas, where the University and state have made significant investments.

The University of Minnesota is in fact already addressing a number of grand challenges. These efforts are logical places to start the process of transformation through which institutional progress—and faster progress toward solutions of global problems—can be made.

We can look to the work of MNDrive. We can look to the work of the Academic Health Center, which will soon complete a plan for a new way of focusing its work across its six professional schools; this will surely set the stage for one or more grand-challenge efforts that leverage the University’s extraordinary breadth and depth of expertise in the health sciences.

Of many possible areas that could be designated now as campuswide grand-challenges priorities, we note three where we have robust work under way and the potential for expanded cross-disciplinary collaborations. We expect others to be defined over the next year, through an inclusive process involving substantial faculty input.

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

- ***Sustainable, Healthy, Secure Food.*** The MNDrive Food core area already engages significant University strength in agriculture, food security, and public health. The University has a long history in food security and health, with major scientific contributions from Borlaug and faculty members Ron Phillips and Ancel Keys. We have hundreds of faculty and students working in the area of food production, post-production, and both basic and applied areas of nutrition. We have a large footprint in research applied to global food production.

We also have the great advantage of an engaged community—including Fortune 500 and private food companies, farmers, commodity groups, and non-governmental organizations dealing with issues involving food, health, and the environment. As an identified grand challenge, this effort would build on MNDrive strengths, but have the potential to broaden interdisciplinary collaborations and campus-community engagement even further. New directions might range from considering the role of K–12 education in promoting healthy eating and understanding of food systems, to better historical understanding of dietary and agricultural practices (including how cultures co-evolved with diets to provide sustainable nutrition); from greater integration of food and diet into medical research and practice to new solutions to the problem of food insecurity and “food deserts” in some rural and urban areas (in Minnesota and beyond); and from engineering and technology advances that support feeding a growing world to the 21st-century challenges of environmentally sustainable agricultural systems.

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

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

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

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

The University is well placed to elevate and better integrate this important work—which is found in some way in all of our schools and colleges—and thus enhance its impact. With state, national, and global communities increasingly urban, our location in a major metro area—a setting rare among peer institutions—provides us with an unparalleled opportunity to identify and shape best practices that both directly benefit our state and also provide helpful models to the nation and the world.

Economic vitality and a high quality of life depend upon the development of human capital and the development and maintenance of effective social and political structures and support. Transdisciplinary research—work, for example, on community design, on intercultural communication and understanding, on issues associated with aging populations, or on the problems of existing disparities and opportunity gaps—is crucial. A coordinated effort on these sorts of issues, one that builds on our current strengths, is also well-positioned to attract new public and private investments and to leverage the expertise and resources of many private and public partners.

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

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

“Quick Win” 2

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

There is a clear need for groups of faculty to quickly and easily attain the resources needed to seed small collaborations or pursue new funding sources. These types of efforts can sometimes be funded by departmental or collegiate discretionary funds, if the projects are local. But with interdisciplinary projects, there is the added complication of having to address the “balance of support” from different units. Historically, small grants for interdisciplinary work have been

available from the Graduate School or the Office of the Vice President for Research (OVPR), but they have had infrequent deadlines, overly cumbersome applications, and inefficient review processes that consume yet more faculty time.

A lightweight mechanism that would make such initial support more easily available would energize faculty creativity. The University should take steps to consider lightweight centers or faculty-allocated collaborative resources (for example, and as described above, resources to be deployed in specific conditions and with well-defined oversight and accountability). Activities seed-funded in this way might include the following, which are meant to be representative and illustrative, not limiting:

- Starting an interdisciplinary course or seminar to train undergraduate and/or graduate students through interaction with a diverse set of faculty across disciplines. Several committee members discussed the difficulty of getting such courses approved and getting them allocated as part of a faculty member's workload. This led to the idea of providing teaching resources (time and enough money for teaching assistants) as one of the models for support.
- Starting an interdisciplinary research exploration group that could probe the potential for coalescing multiple strands of work into grand-challenges efforts. When taking on a challenging topic such as health disparities or immigration, a necessary first step is to get people together who may be working on related issues—find other experts in the University to explore the scope of the problem, the resources and techniques available within our campus, and the ways in which collaboration might be effective. Exploration groups could also make it a priority to invite faculty of quite disparate disciplines to see what might be sparked.

For a group forming in this way, the major need might be a research assistant or staff member to organize efforts, search out collaborators, gather and disseminate resources, etc. A group might also seek space for collaboration (of the sort exemplified by the hosting function of the Institute for Advanced Study and the idea-seeding centers of other universities). Modest grants could help seed these exploratory efforts—which could also be part of the iterative process to identify the most promising additional areas to elevate to the status of an institutional grand-challenge.

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

Rationale: Transforming the University's culture doesn't happen through planning meetings and committees; it happens by putting ideas into practice. The grand-challenge approach is too important to wait another year to start—and waiting doesn't achieve transformational change. Starting with existing challenge-related investments will allow us to gain experience with the processes and mechanisms of supporting grand challenge work, even as we seed and nurture additional challenges that can be ripe for selection in the next year or two. Following these

recommendations will help us achieve our grand challenge vision—a vision which will invigorate the University’s research and teaching and enhance its reputation worldwide.

Major Players

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

Action Steps

- The president and provost will determine clear responsibility for oversight of the grand-challenges program.
- The Initial challenge areas selected to “jump start” the grand-challenges vision should be promoted in fall 2014.
- Processes for choosing additional grand challenge priorities will be launched immediately, and will involve an open, iterative process to allow other challenges to emerge from the faculty.
- Mechanisms for bottom-up funding will be formulated and made available during this academic year.

REPORT OF THE STRATEGIC PLANNING WORKGROUP
UNIVERSITY OF MINNESOTA TWIN CITIES

Grand Challenges— Curriculum

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

Strategic Planning Workgroup

Grand Challenges—Curriculum

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Introduction

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

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

- The Grand Challenges Curriculum is intended to infuse energy and incentives into efforts to advance a culture change at the University of Minnesota emphasizing inspiration, engagement, action, and impact.
- The University will benefit from a visible and coherent hallmark or “showcase” identity linked to grand challenges. This will highlight the University's distinctive strengths, innovation, and leadership to draw motivated students, faculty, staff, and resources.
- The Grand Challenges Curriculum will further the integration of University research and teaching and the expectation that students will engage in the process of discovery that is central to our mission.
- The Grand Challenges Curriculum advances a multidisciplinary approach to higher education that integrates and celebrates diverse expertise, methods, and perspectives, including global and intercultural perspectives.

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

Our approach to building a Grand Challenges Curriculum is phased and scalable. It recognizes that the infusion of grand challenges across the curriculum will require time, the generation and movement of resources, and the evolution of structures to effectively govern and administer courses, programs, workshops, and other components. Significant campuswide engagement efforts will be needed to ensure that the Grand Challenges Curriculum is further informed by students, faculty, and staff with expertise and responsibility pertinent to key components. This must encompass both academic units and those related to student co-curricular experiences. We should especially draw on the perspectives of students, faculty, and staff who are already engaged in education, research, and outreach activities that align well with grand challenges. Their insights

and engagement are critical to creating buy-in and to developing strong models illustrating the intent and impact of grand-challenges education at the University of Minnesota.

Grand Challenges Curricular Goals for Students

The University's Grand Challenges Curriculum will engage students at both undergraduate and graduate/post-baccalaureate levels. For undergraduates, the plan is to ensure that all students will receive a basic exposure to grand challenges and that those with deeper interest will have opportunities to build further knowledge and experience. This approach will rely on both existing and new curricular and co-curricular opportunities to link more intentionally classroom, research, engagement, and practice opportunities so as to create a more meaningful and multifaceted learning experience.

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

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

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

The strategic action steps below outline an integrated set of strategies to infuse grand challenges across the curriculum. While some pieces can be pursued individually, the strategies are intended as a suite of approaches that, when fully implemented, will connect with the full range of our students, support connections across faculty and disciplines, position the University of Minnesota as an educational innovator, and advance our complex land-grant and research missions. Importantly, the curriculum recommendations will be pursued as part of a broader alignment of the University of Minnesota with work on grand challenges, including strategies focused on

research and campus-community engagement. A Grand Challenges Curriculum can best be advanced in the context of field-shaping research and a reciprocal approach to public engagement that builds long-term collaborations to address society's grand challenges.

Strategies

Transformational Vision

We will evolve Liberal Education Requirements to integrate grand challenges.

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

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

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

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

The Designated Themes address topics identified as central to understanding contemporary life, and prepare students to be knowledgeable, ethical, and engaged citizens. Students are required to complete four courses chosen from among five areas: 1) Civic Life and Ethics, 2) Diversity and

Social Justice in the United States, 3) The Environment, 4) Global Perspectives, and 5) Technology and Society.

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

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

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

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

We might, for example, reorganize theme areas into a sequence of four course categories. Each of the four course categories would include a variety of options that students could pursue, with a defined set of common core objectives and learning outcomes developed by an existing or new administrative/oversight body focused on grand-challenges education.

One way to phase in this approach would be to develop the course categories and offer a small set of course options under each course category. The preliminary set of courses could be implemented as a pilot for a limited number of students—for example, students in the University Honors Program or a select group of students who opt-in to a grand-challenges liberal education pilot. This would allow for targeted evaluation and an orderly shift of faculty’s curricular responsibilities, a shift that would build the course offerings over time. Such an approach would inform an eventual move toward updating Liberal Education Requirements for all students.

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

Courses would likely be team taught and enhanced by technology such as smart classrooms, online collaborations, gaming strategies, and other tools. Such courses would offer ideal opportunities for blending liberal education themes and grand-challenge approaches. For

example, thinking about some grand challenges and their potential solutions implies thinking from global perspectives about issues concerning the interaction of technology and society—issues which in turn often have significant implications for diversity, social justice, and the environment. Addressing these issues will further involve ethical judgments and civic engagement.

- 2) **Course Categories 2 and 3—Second- and Third-Year Skills Courses:** Rather than focusing on technical skills, courses in these categories would aim at building ethical sensitivity and a capacity for engagement and collaboration, along with an appreciation of diverse approaches to problem solving.

“Problem Skills” course options would include a variety of courses focused on different approaches to problems (e.g. design thinking, action research), but there would be a consistent course objective centered on comparing/contrasting diverse methodologies. “People Skills” course options would focus on building skills to engage with others to address grand challenges: collaborating across disciplines, building intercultural competence, promoting leadership, and enhancing communication. As with the problem skills courses, a limited number of consistent course objectives would be incorporated into all course options. For both problem and people skills courses, grand-challenge topical breakouts would be ideal for advancing applied skills. Emphasis on skills alone is not sufficient, however, so paying attention to the existing liberal education themes would be important for the full development of objectives for courses in this category.

- 3) **Course Category 4—Fourth-Year Experiential Learning Opportunity:** Capstone-type courses would be developed to engage groups of students in experiential learning related to specific grand-challenge topics.

In the capstone courses, students would have the opportunity to work collaboratively in cross-disciplinary teams, applying their disciplinary knowledge and liberal education background to key grand challenges. Students would work with communities, public and private organizations, businesses, policymaking bodies, and other entities, with these experiences structured by our commitment to reciprocal engagement. Experiential learning opportunities would be diverse, appealing to students from across the University’s large range of disciplines.

Beyond traditional course-based options, experiential learning opportunities might also involve study abroad, service learning, internships, and research—for example, faculty-mentored projects through the Undergraduate Research Opportunities Program. Technology-enhanced learning will also be important to learning experiences in this category. With interactive online tools, students can work remotely with ongoing faculty guidance and support, or can be on campus while engaging with communities and scholars located elsewhere.

We anticipate that courses in each of the categories will be offered by a variety of departments and colleges, potentially including professional schools which have traditionally offered few undergraduate courses. To support team teaching, the costs of teaching assistants, advisors,

expansion of interactive technology, and relevant administrative structures, the distribution of course enrollment revenues will need to be evaluated. The University will need cross-college administrative structures, with oversight from the provost, to engage faculty in developing course objectives and to ensure that grand-challenges integration goals are fully realized.

The Sustainability Studies minor is a potential model for such a sequence of courses. Students pursuing this minor take a large-enrollment, three-credit introductory survey (SUST 3003: Sustainable People, Sustainable Planet), then select three elective courses from four subject categories (economics and policy, social science and humanities, biophysical sciences, and design and technology), and finally complete a three-credit capstone course involving experiential learning (SUST 4004: Sustainable Communities).

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

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

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

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

“Must Dos”

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

“Must Do” 1***Develop grand-challenges co-curricular educational, research, and engagement opportunities***

Co-curricular opportunities make essential contributions to the delivery of a Grand-Challenges Curriculum and more broadly advance the University’s focus on grand challenges and exceptional opportunities for students. Co-curricular education, research, and engagement opportunities enhance students’ experience and provide important pathways to deeper knowledge of specific grand-challenge issues.

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

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

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

“Must Do” 2***Develop a Grand Challenges Scholars Program***

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

The Community Engaged Scholars Program is a relevant University of Minnesota model: participating students perform a specified number of community-engagement hours, participate in a workshop, enroll in service-learning courses, complete reflections on community-engagement experiences, and participate in a seminar. Students in the Community Engaged Scholars Program

receive a non-degree certificate, a notation on their transcript, and a program-specific cord to wear at graduation.

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

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

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

“Quick Wins”

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

“Quick Win” 1

Develop additional University seminars focused on grand-challenge topics

New challenge-oriented seminars will engage students with grand-challenge topics and provide opportunities to explore relevant theory, history, methods, critiques, and other content. These elective seminars should be informed by the existing challenge seminars offered through the University Honors Program—for example, “Can We Feed the World Without Destroying It?” (HCOL 3803H). Expanding the number of seminars will increase the number of topics that can be

addressed and allow more students to enroll in them. Seminars should be developed at both the undergraduate and post-baccalaureate levels and should afford students across degree programs and disciplines the opportunity to enroll in a grand-challenges seminar of interest.

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

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

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

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

"Quick Win" 2

Develop undergraduate minors focused on grand-challenge topics

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

Minors could be organized around a set of required and elective courses, perhaps including grand-challenge topical seminars among those required. The development of core competencies for the

minor will require engagement of faculty from varied disciplines, departments, and colleges. An administrative and governance structure will be needed to support recruitment, teaching, and advising for the minor. Minors will likely draw on many existing courses that pertain to the specific grand-challenge topic, but could also include one or more new courses beyond the seminars described above. Tuition revenue should be allocated in a way that ensures sufficient resources to support the minor.

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

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

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

Implementation Considerations

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

The shift toward explicit engagement with grand challenges involves a cultural change. It is a change that must be integrated with institutional commitments to diversity, intercultural learning, and global engagement. The curriculum will be both a driver of this change as well as a result of it.

Strategies to develop grand-challenges curricula will be greatly enhanced through discussion and refinement by faculty, students, and staff across our large and complex institution. This is the first step in a broad campus effort that will lead to pilot testing, revision, and implementation. The recommended changes are significant and potentially touch everyone at the University.

Consequently, they must be shaped by broad engagement and informed by expertise from every quarter. They must reflect the highest aspirations of the University.

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

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

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

Grand-challenge teaching and learning is by nature networked and collaborative. The speed and scope of digital technology has begun to change some aspects of higher education but arguably has not yet fundamentally transformed the way we teach and learn. Technology has enormous potential to advance grand-challenge curricular aspirations and the overall excellence and impact of University of Minnesota educational programs. The implementation process should emphasize innovative technology to challenge conventional teaching and learning. We should also look for ways to draw on the knowledge and ingenuity of our students in using digital technology to help foster an innovative and effective participatory learning culture.

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

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

achieving the University we envision, a land-grant research university that imaginatively leverages all of its strengths to address society's grand challenges.

REPORT OF THE STRATEGIC PLANNING WORKGROUP
UNIVERSITY OF MINNESOTA TWIN CITIES

Field-Shaping Researchers and Teachers

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

Strategic Planning Workgroup

Field-Shaping Researchers and Teachers

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Introduction

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

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

We identified key incentives, from pay to flexibility, but focused as well on a number of cultural issues that are sometimes barriers to success and retention. We considered a broad range of ideas and concretized those considerations into high-priority recommendations we think most likely to advance our institutional aspirations and goals.

Some strategies can be advanced easily and some will require more effort. Implemented correctly, these strategies can help us create an “ideal state” in which top faculty and staff researchers and teachers from diverse disciplines and backgrounds—from across the country and indeed, from around the world—will seek out the University of Minnesota because of its reputation, its limitless opportunities, and its commitment to excellence. If we raise our profile in all these dimensions, we are confident that we will be able to attract the field-shaping researchers and teachers capable of leading this institution into the brightest future.

Strategies

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

Transformational Vision

We will create a “University of Transformational Opportunity”

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

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

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

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

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

"Must Dos"

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

Some strategies will involve questions of resources. Implementation of the University's strategic plan is likely to benefit from the significant savings being realized through the president's commitment to administrative efficiencies. Our strategic vision and goals could generate new funds from funding agencies or donors if the implementation is sufficiently exciting and well executed.

It is prudent, however, to plan under the assumption that the pool of resources at the University is approximately constant. Before an action is taken, we must recognize that allocating resources to one initiative is likely to mean a reduction elsewhere. We must achieve consensus that reallocations will ultimately benefit the University.

"Must Do" 1

Invigorate the process for recruiting the best researchers and teachers

We must build and keep a faculty of diverse field-shapers, faculty with impressive track records as scholars and teachers, faculty prepared to be change agents and leaders.

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

Supporting Recommendation 1:

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

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

Action Steps

- Create a fund at the central or college level for special-case recruiting to attract the very best candidates. Consider "top-off" funds to help departments with strategic hires of mid-level and senior faculty.
- In collaboration with the University of Minnesota Foundation, strengthen school and college fundraising for endowed chairs and professorships for field-shaping faculty.
- Provide departments and colleges with more flexibility for recruiting and hiring. For example, allow hiring packages that offer enhanced inducements and novel support for important work.

Supporting Recommendation 2***Improve the diversity of faculty hires.***

Rationale: We cannot expect to be preeminent in addressing the challenges of a diverse and changing world unless the University of Minnesota can draw on the full range of talents, expertise, perspectives, and interests of diverse researchers and teachers nationally and globally. A diverse faculty is essential to providing our students with the knowledge and perspectives needed for life, work, and citizenship in the globalized 21st century and is crucial to innovative field-shaping research. Consistent with our mission, institutional values, and strategic vision, the University must be a place where all faculty feel welcome and encouraged to thrive. We must aggressively and deliberately promote diversity in faculty recruiting and in our ongoing practices of faculty development and support.

Action Steps

- Develop college-specific and department-specific guides for active recruitment of faculty of color and other underrepresented faculty (including women in units where they are underrepresented). The focus should be on promoting broad understanding by all involved in academic hiring of best-practices strategies for building diverse candidate pools and successfully recruiting and retaining diverse faculty.
- Support cluster hiring as a proven strategy for promoting and expanding faculty diversity. Cluster hiring creates a sense of community that also supports long-term retention. Cluster hiring could be linked where appropriate to themes consistent with grand-challenges priorities.
- Hold department heads and academic administrators accountable for improving the participation of diverse candidates in recruitment pools and for improving diversity in the ranks of faculty and staff.
- Create an inclusive climate and culture so that all feel valued and supported; strengthen department mentoring programs, cross-disciplinary networking opportunities, and implement other best-practice strategies to build social connection and support career development.
- Support strong efforts to improve the recruitment and retention of students of color and other underrepresented students, both to nurture a diverse population of future scholars and field-shapers and to help build the vibrantly diverse 21st-century campus that will attract a culturally diverse faculty of the highest caliber.

Supporting Recommendation 3***Develop an aggressive approach to partner hires***

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

Action Steps

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

Supporting Recommendation 4—“a Quick Win”

Reinvigorate the faculty campus interview process

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

Action Steps

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

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

Most faculty candidates only learn such information randomly, if at all, in casual conversations with others during a campus visit. The University will strengthen its ability to recruit the best researchers and teachers by more effectively presenting the strengths and opportunities of our campus and region. Candidates should get a package of individualized information (and not simply a generic package put together by a local chamber of

commerce), along with a personalized interview with a knowledgeable administrator who can both elicit and answer questions. In other words, we must highlight the non-monetary, intangible advantages of being at the University of Minnesota Twin Cities.

“Must Do” 2

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

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

Supporting Recommendation 1

Commit to a program of excellence for department heads and chairs

Rationale: Effective department heads or chairs are pivotal to the recruitment, retention, and development of diverse field-shapers. They are “key actors” in creating a departmental culture and incentives that will enable field-shapers—and all faculty and staff—to thrive. Even with the evolution towards interdisciplinary work that transcends department and college boundaries, all faculty and staff in teaching and research roles have a home academic department; most identify closely with that department. A program of excellence for department heads is essential to create a university of transformational opportunity and to implement other aspects of our strategic vision.

Action Steps

- Better define and communicate to faculty the role of the department head/chair This includes clarifying the department’s own expectations for how the role functions as well as the expectations of deans (and more broadly, of the provost).
- Determine the attributes of a top-performing head/chair and disseminate best practices and processes.
- Recognize and reward department heads/chairs to make these posts desirable positions. For example, the position could come with post-doc support so that the leader’s research program could continue.
- Streamline administrative work so that routine matters consume less of the leader’s time and effort.
- Provide department heads/chairs, center directors, and other key program leaders with leadership training aimed at creating a department culture where field-shapers are cultivated, recognized, and rewarded—and where academic risk-taking is embraced. Building on the existing academic leadership training sponsored by the provost’s office, these programs and interventions should foster attention to effective long-term management and planning, as well as to an enhanced, energetic workplace culture.

- Train department heads/chairs to identify future field shapers and expand programs to develop them; field shapers are not only recruited, they must also be grown internally.
- Provide department heads/chairs and center directors with expert training in cultural competence and in strategies to recruit, retain, and promote the success of diverse faculty and students.
- Examine criteria for selecting department heads and chairs.
- Examine how heads/chairs conduct annual reviews for tenured faculty and how they promote career development.
- Determine what length of term is most appropriate for a department head/chair. For example, some units have three-year rotating positions; three years is very likely too short a term to effect strong developmental leadership in the unit.
- Department heads and chairs operate within the current University structure. We must carefully examine this structure and determine whether structural changes would facilitate field-shaping research and teaching that capitalizes on our strengths.

Supporting Recommendation 2

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

Rationale: While intangibles play the most important role in retaining the very best faculty and staff, financial incentives can and should be used to ensure that those at the peak of creativity and productivity are recognized and rewarded. At the same time, we need to find ways to avoid having compensation inequalities produce resentment.

Action Steps

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

Supporting Recommendation 3—a “Quick Win”

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

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

Action Steps

- Examine the entire portfolio of internal awards and be creative in developing the optimal use of these valuable resources.

- Develop a strategy for targeted fundraising to increase the number of endowed chairs, with one goal being to connect to the University’s broader grand-challenges paradigm.

Supporting Recommendation 4—a “Quick Win”

Aggressively seek external faculty awards

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

Action Steps

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

Supporting Recommendation 5

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

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

Action Steps

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

- Aggressively pursue external Ph.D. student fellowships so that we are on the same level as the best of our peer institutions.
- Undertake a benchmarking study of best practices for research staff and post-doctoral associates and fellows. Advancing high quality research of major impact often depends on the knowledge and skills of staff who support academic work. Benchmarking the University against the practices of peer institutions will provide information that can improve the University's competitiveness in recruiting outstanding postdocs and can help to ensure that our institution is a best-practices workplace for academic administrative and research staff.

Supporting Recommendation 6

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

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

Action Steps

- Identify and reduce lingering barriers to interdisciplinary research and teaching.
- Review the University's faculty tenure policy—specifically, sections 7.11 (tenure criteria), 9.2 (promotion to professor criteria) and 7a (review of faculty performance)—and department-level 7.12 statements (tenure criteria) to determine how they shape the environment for interdisciplinary work; revise if revision is needed.
- Identify a flexible, recurring source of funding to support interdisciplinary teaching and research.
- Ensure that incentives for interdisciplinary research and teaching do not inhibit the innovative work of field-shapers who flourish within their established disciplinary boundaries; there must be flexibility in our conception of the University of Minnesota as a university of transformational opportunity.

Supporting Recommendation 7

Conduct regular reviews of academic initiatives, including centers.

Rationale

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

Action Steps

- Strongly enforce a five-year horizon as a campuswide standard for centers or major initiatives. Each should start with an expected lifespan of five years (or less). Extension beyond the first five years requires meaningful justification. (Regular reviews, if not strict time horizons, should apply to those centers recognized as ongoing academic units; examples include the Institute for Advanced Study and the Institute on the Environment).
- Ensure that all campus and college units carry out regular and meaningful reviews of centers that draw on central or collegiate resources. (This is an existing policy standard that should be strongly enforced.)

Supporting Recommendation 8

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

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

Action Steps

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

Supporting Recommendation 9

Encourage innovations in teaching and recognize and reward innovators

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

Renown for the University as an institution that promotes and facilitates innovative teaching practices will help in attracting field-shaping researchers. Moreover, providing students with outstanding educational experiences directly reflective of our research excellence is central to our mission. We must continue to ensure that graduate students are taught and mentored by field-shapers and that undergraduates also have opportunities to learn from top faculty. This

should occur not only in structured courses, but also through research collaborations such as the Undergraduate Research Opportunities Program and through experiential learning and service experiences that engage students with local and global communities.

Action Steps

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

Supporting Recommendation 10—a “Quick Win”

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

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

Action Steps

- Reduce administrative burden for low-risk processes.
- Seek to reduce the number of University committees where appropriate.
- Consider reducing the number of faculty on various committees.
- Provide department heads/chairs with training on making inclusive, “participatory” decisions without setting up committees.
- Establish a natural sunset for activities, including centers and standing committees, where appropriate.

Supporting Recommendation 11—a “Quick Win”

Enhance faculty retirement incentives

Rationale: Many departments have faculty who would like to retire but might be uncertain about their financial status or a potential loss of identity. Older faculty often have exceptional scholarly records; by virtue of their long careers, experience, and accomplishments their salaries also tend to be higher than those of less senior colleagues. We must develop or enhance strategies and incentives to support older colleagues winding down their formal academic careers. This should include identifying meaningful opportunities for faculty to contribute in emeritus roles should they wish to do so.

New support strategies around retirement are consistent with the goal of supporting faculty at all stages of their careers—one key to making the University an attractive “home” for outstanding faculty. This will also help create a dynamic and transformational academic culture. In a world with constrained resources, we must work not to stifle the pipeline of fresh ideas and diversified perspectives that can come especially from hiring younger faculty and field-shapers at earlier career stages.

Action Steps

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

REPORT OF THE STRATEGIC PLANNING WORKGROUP
UNIVERSITY OF MINNESOTA TWIN CITIES

Reciprocal Engagement, Leveraging Our Location

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

Strategic Planning Workgroup

Reciprocal Engagement, Leveraging Our Location

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Introduction

The University of Minnesota’s vision for 21st-century excellence recognizes the strategic advantage we have as a land-grant research university that has unparalleled scope, is globally engaged, and is located in a major metropolitan area. Few of our peer institutions are based in large cities. Our Twin Cities campus is at the heart of a vibrant metropolis that ranks first among the 30 largest U.S. metros in the number of Fortune 500 companies per capita, is home to leading private companies such as Carlson and Cargill, and is a hub for entrepreneurs and thriving small businesses. Our region is renowned for its arts and nonprofit sectors and more generally for its abundant cultural and natural resources. Our campus straddles one of the world’s great rivers and adjoins a national park. We are an anchor institution for a globally competitive region and state with notable strengths in areas critical to today’s knowledge economy—including biosciences, medical devices, and agriculture and food production.

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

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

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

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

expand and deepen our institution’s capacity for effective reciprocal engagement with a wide and diverse range of partners and stakeholders locally, nationally, and internationally.

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

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

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

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

Enhancing Reciprocal Engagement

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

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

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

We must also strengthen strategies and structures that support our communities through improved public access to the University’s scholarship, educational, and cultural resources. Prominent examples are wide-ranging, including the educational and cultural programs of Extension; the work with communities and businesses through the Office of University Economic Development; the outreach of our professional schools through clinics, hospitals, and continuing education; the new Northrop; and the Bell Museum of Natural History.

Other salient examples include broad community-based collaborations such as the Urban Research and Outreach-Engagement Center and many educational access programs—Kids on Campus, the STEM (science, technology, engineering, and mathematics) Center in the College of Education and Human Development, the College Readiness Consortium, and the College of Continuing Education, to name just a few.

Strategies

Transformational Vision

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

Support and recognition for engagement is uneven across academic departments. While there may not be equal interest across academic units in engaged scholarship, there should at least be consistent and openly agreed upon standards for support and assessment of this work within units so engaged. Such scholarship needs to be evaluated consistently within units and across the University, maintaining respect for discipline-specific contexts.

There should be clear statements within academic units about the role of engaged scholarship in annual reviews and in matters of promotion and tenure. A more consistent culture, environment, and set of standards for engaged scholarship will advance the University’s land-grant and research missions and enhance the rigor and relevance of the education we provide students.

We must also increase faculty and student training in engagement activities. Public engagement training is needed to equip scholars and students to do this work in a way that is respectful of the community and fosters good relationships between the community and the University. Integrated training opportunities—including an “engagement pipeline” involving undergraduates, graduate students, faculty and staff—are needed so that the University of Minnesota can develop and nurture a larger cohort of students and scholars who are well versed in community-engaged research, teaching, and the translation of research. Moreover, since many funding agencies now require demonstrations of “public relevance” or involvement with community partners, this training can assist University faculty, staff and students seeking grant funding that requires or supports community engagement.

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

Action Steps

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

Supporting Recommendation

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

Mutual respect and trust, transparency and accountability, flexibility, and authentic commitment to sustainable relationships—these are all core components of reciprocal engagement.

Simply put, the University has a responsibility—consistent with its mission as a land-grant research university, as a state-chartered institution, and as one of the region’s largest employers—to invest in the well-being of the state and to develop and maintain exemplary relationships with its many constituencies and stakeholders.

We are aware of interactions in which community partners have felt devalued or valued only for their potential to help secure grant funding or to provide a site for a student field placement. Focus groups and roundtable discussions convened by the OVPR, UMF, and colleges and academic programs have found that, among business and industry stakeholders, and among other community members and organizations, the University has not always been perceived as an ideal partner. Partners and potential partners have mentioned challenges related to accessibility, information sharing, and coordination of contacts between and within the University. Specific concerns among external stakeholders include perceptions that the University is bureaucratic, difficult to connect with, or focused narrowly on University goals or on “one-off” projects not linked to the broader interests of our partners.

Some differences in focus are inevitable, but the full range of these concerns suggests we have more to do to leverage the strengths and resources of our location, to build meaningful and productive collaborations with our communities to benefit them, our students, and our institution as a whole.

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

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

Action Steps

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

“Must Do” 1

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

The University of Minnesota has unique credibility and capacity for convening large-scale, cross-sector discussions and collaborations. The adoption of the University’s new strategic plan presents an ideal moment to convene campus-community partnerships to address grand challenges. This will raise the University’s profile with stakeholders as a key collaborative partner, and this, in turn, will enhance our ability to realize our ambitions at the local, regional, and global level. Engaging partners “at the front end” will build trust with stakeholders and will lead to research and teaching collaborations that harness the full power of a land-grant research institution in a vibrant and diverse metropolitan area.

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

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

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

Convening conversations with regional stakeholders about grand challenges will illuminate important interconnections between regional issues and global grand challenges. The Minneapolis-St. Paul Regional Economic Development Partnership (Greater MSP) and other community advocacy groups are natural allies in this effort. We need to promote the multi-pronged and scalable approaches required to address complex challenges and steward synergistic partnerships grounded on both campus and community strengths. The complex weave of communities that make up our region affords special opportunities. For example, strengthening bridges between the University and Twin Cities indigenous communities, communities of color, and immigrant and refugee populations opens new pathways for truly reciprocal research and learning collaborations on a range of important issues that have high local importance and national and global implications.

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

Action Step

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

“Must Do” 2

Expand community-engaged grand-challenges pathways for students

At a time when point-and-click approaches to higher education are heavily advertised and promoted, the University’s grand-challenges vision reaffirms the value of a residential, place-based research university. As we become more fully engaged with our communities and with the most pressing and complex problems in the world, our physical location in one of the richest, most vital growth areas in the country gives us unprecedented opportunities to create new collaborative ventures that offer exceptional learning and career avenues for students.

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

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

The expansive asset base in the Twin Cities—social, cultural, and economic—offers career and service opportunities for students across every conceivable sphere. The region’s internationally engaged businesses, small and large arts organizations, non-profits, and multifaceted communities also expose students to diverse cultures and perspectives and to the intersections between local and global issues—critical in the development of 21st-century literacies and competencies. Local experiences are springboards and touchstones for the more immersive global engagement that is one hallmark of a University of Minnesota education.

The University has a variety of initiatives that support community-engaged student learning in both local and global contexts. Notable examples include the Community Service-Learning Center (which partners with over 200 nonprofits in and around the Twin Cities); the GPS Alliance; and service learning activities, internships, and other experiential learning programs in colleges and departments. The Community Engagement Scholars Program (within the Community Service-

Learning Center) provides structured community learning experiences that earn academic credit and recognition on students' transcripts. All of these could be foundations for more focused grand-challenges learning and career pathways.

Action Step

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

"Quick Win" 1

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

The University of Minnesota needs to make evident to stakeholders—internal and external—the benefits of University-community collaborations. This has been one focus of the corporate engagement partnership of the UMF, OVPR, the Office of University Economic Development, and colleges and programs across the campus.

Core strategies include developing an internal economic development network; forming working relationships with key public and private economic development agencies to identify common objectives and prioritize projects; and connecting MnDRIVE priorities to corresponding regional initiatives. Other strategies emphasize marketing, online connectivity tools, and systematic data gathering and analysis. We recommend that the University build on these efforts, adapting them appropriately to enhance our engagement with our many other categories of partners.

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

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

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

security in Minnesota communities, operating dental clinics in rural areas, or devising transportation solutions for underserved neighborhoods.

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

“Quick Win” 2

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

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

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

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

Action Step

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

OPE is perhaps best positioned to convene a conversation among relevant university units about how better to coordinate information about engagement activities across the campus—as well as how to make it easier for faculty, students, and staff to learn about and participate in public engagement opportunities.

Follow-up or parallel conversations by other units could focus on how to advance engagement in particular areas—such as how to leverage our world-class assets of performing arts facilities, museums, galleries and libraries and increase opportunities for our faculty, students and staff to engage with communities in creative and scholarly partnerships.

Advancing Our Vision

Next Steps

The Strategic Plan will be a framework for a more detailed set of specific goals, outcomes, and implementation steps. Resources and unit work plans will be aligned with the plan, and the vision and recommendations of the plan will be incorporated into ongoing academic planning.

To implement our vision and goals, we will:

- Establish a Strategic Planning Continuity Team to advise the president and provost on implementation priorities and steps, including benchmarks and metrics to measure progress on all four goals.
- Establish Grand Challenges implementation teams to seed potential grand challenge areas, shape an iterative process to define institutional priorities, and recommend short- and long-term research and curricular implementation steps.
- Use existing leadership and governance structures for ongoing direction, advice, feedback, and counsel, including the President's Senior Leadership Group, Twin Cities Deans, Operational Excellence team, Vice Provost Cabinet, Faculty Consultative Committee, and University Governance (faculty, staff, and students).
- Charge a Budget Resource Group with identifying optimal funding strategies.
- Incorporate the plan into ongoing academic planning by the provost to:
 - Develop meaningful indicators for excellence in goal areas
 - Integrate into compact planning starting fall 2014
 - Connect the campuswide plan with plans of Twin Cities academic and administrative units
 - Advance action to achieve goals derived from the compact planning
 - Coordinate and align the Twin Cities plan with those of the University system campuses
 - Share successes and report outcomes
 - Coordinate an ongoing process of communication and engagement with the campus community and external stakeholders to refine the plan and substantiate the thoughtful dynamism of the framework—ensuring that our work advances the mission of the University of Minnesota, reflects shared aspirations, and meets the challenges and contingencies of a diverse and changing world



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: President's Recommended FY 2016-17 Biennial Budget Request

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

This is a report required by Board policy.

Presenters: Eric Kaler, President
Richard Pfutzenreuter, Vice President & Chief Financial Officer

Purpose & Key Points

The purpose of this item is to review the University's iennial Budget Request to the State of Minnesota for FY 2016-17.

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

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

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

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

Background Information

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

President's Recommendation

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



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO

STATE BIENNIAL BUDGET REQUEST FOR FY2016-17

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

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

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

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

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

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

NOW, THEREFORE, BE IT RESOLVED that the biennial budget request for the 2016-2017 biennium be adopted by the Board of Regents for presentation to the State of Minnesota. The request is for a general fund appropriation of \$640,400,000 in fiscal year 2016 and \$684,600,000 in fiscal year 2017 for a biennial total of \$1,325,000,000 in the form of general operations and maintenance and state

specials appropriations. The Board of Regents further requests continuation of fiscal year 2013 base funding levels for the Primary Care Education Initiatives totaling \$2,157,000 and for the Academic Health Center funding under Minnesota Statutes 297F.10 totaling \$22,250,000 for fiscal years 2016 and 2017.

FY2016-17 Biennial Budget Request

Board of Regents | October 10, 2014

President Eric W. Kaler
Vice President Richard Pfutzenreuter



UNIVERSITY OF MINNESOTA

Driven to DiscoverSM

Legislative Budget Request Goals

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

Affordability and Access

Vision

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

- Continue partnership with the state to pause resident tuition rates for all Minnesota students for another two years

Request

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



Facility Condition Improvement Strategy

Vision

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

Request

Incremental over prior year

FY16	FY17
\$5.0M	\$5.0M

Healthy Minnesota

Vision

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

- Training the next generation of health care professionals to serve Minnesota's aging and diverse population
- More effectively serving Greater Minnesota and other under-served communities
- Making life saving discoveries, promoting health and finding cures for conditions ailing Minnesotans

Request

Incremental over prior year

FY16	FY17
\$11.5M	\$11.5M



Vibrant Economy

Vision

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

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

Request

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



Biennial Budget Request

FY2016 - 2017

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



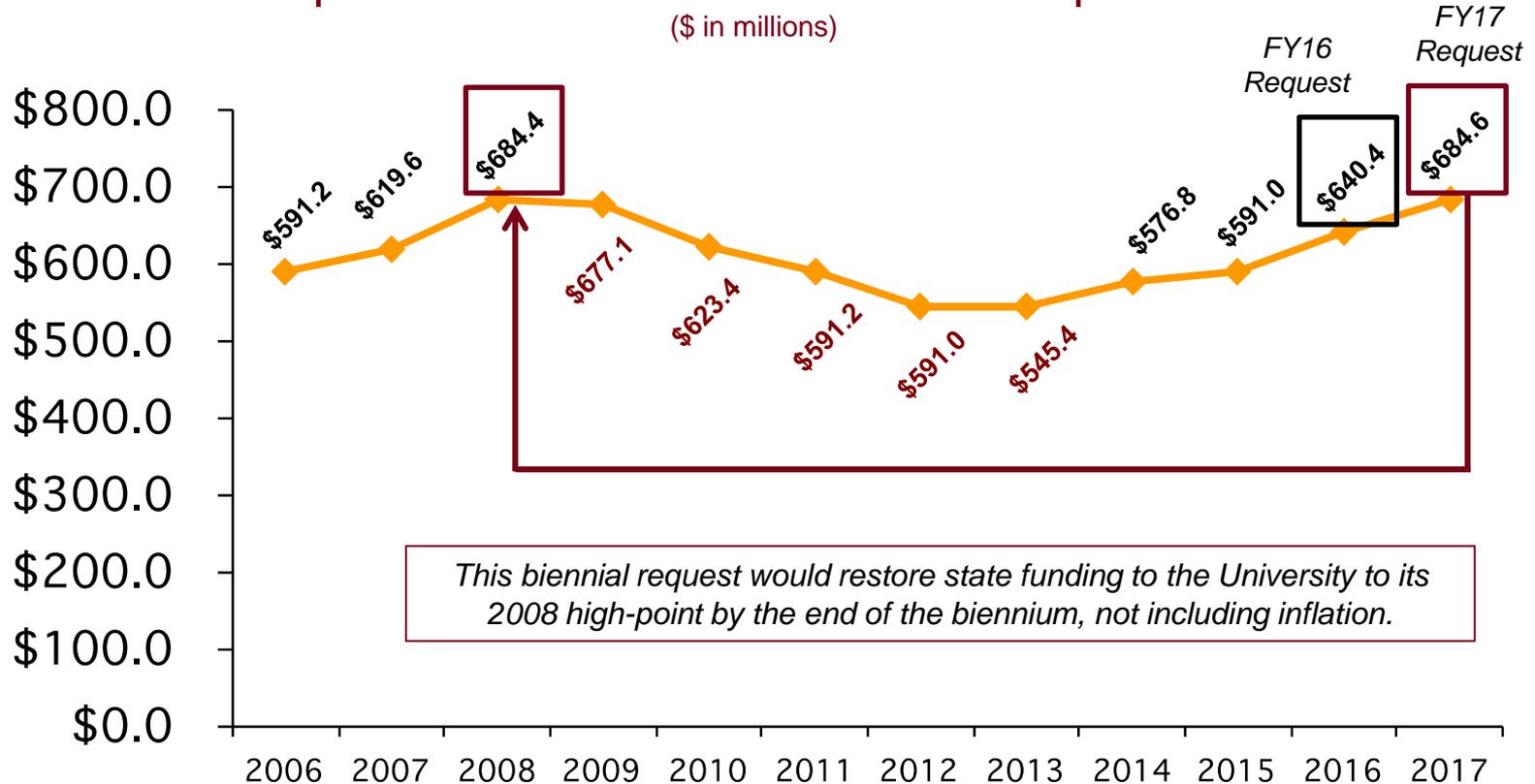
<i>Change to current base – biennial math</i>	2016	2017	Biennial
Beginning base	\$598.9	\$598.9	\$1,197.8
U of M total request	\$41.5	\$85.7	\$127.2
Total requested appropriation	\$640.4	\$684.6	\$1,325.0
Percent change from base			10.6%

(dollars in millions)

State Appropriations Trend: 2006-2017*

Operations & Maintenance/State Specials

(\$ in millions)



*Excludes Cigarette Tax, MnCare, and nonrecurring project appropriations

Biennial Budget Request

Benefits our state, students, faculty and staff

- 53,000 students and their families benefit annually from tuition freeze
- Minnesota's most acute health work force shortages are addressed
- New treatments and cures for chronic conditions are discovered
- Negative impacts of mining are eliminated
- The quality of life for Minnesotans is improved (reduced achievement gap, stronger communities)
- Stable, predictable funding improves facilities, student success and provides long term cost savings
- University excellence is retained through continued partnership with the state, administrative cost reductions and stewardship of resources



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



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

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

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

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

Purpose & Key Points

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

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

Background Information

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

The Board approved the 2013 Six-Year Capital Improvements Plan in June 2013.

President's Recommendation

The President recommends that the Board approve the University of Minnesota Six-Year Capital Plan for Fiscal Years 2015–2020.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO

THE PRESIDENT'S SIX-YEAR CAPITAL IMPROVEMENT PLAN

WHEREAS, preserving the University campuses through stewardship of public investments that have been made over 150 years is a commitment the Board has made to the State; and

WHEREAS, advancing key academic priorities is critical for the University to achieve and maintain excellence; and

WHEREAS, continuing investment in research infrastructure is essential for the future competitiveness of the University and the State of Minnesota; and

WHEREAS, enhancing the student experience for both undergraduate education and graduate and professional education is required as the core of its mission in order to generate and disseminate knowledge; and

WHEREAS, improving outreach and engagement is necessary in order to transform State communities, fuel the State economy, address State social issues, and improve the State's health; and

WHEREAS, the administration has developed a capital-planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is responsible.

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents approves the President's Six-Year Capital Improvement Plan in order to create and maintain facilities that serve as tools in accomplishing the University's education, research and outreach objectives.

Overview

The *2014 Six-Year Capital Plan* for the University of Minnesota establishes the next three University capital requests to be submitted to the State for consideration; sets priorities and direction for continued capital project and academic planning efforts; identifies the impact of additional University debt; assigns responsibility for capital fundraising; and forecasts additional building operational costs. The plan is updated on an annual basis, and approved by the Board of Regents.

The President's recommended *2014 Six-Year Capital Plan* includes:

- 2015 state capital request
- Future state capital requests for 2016 through 2020
- Projects proposed to be financed with University resources during the period FY2015 through FY2019

Planning Process

Capital planning at the University of Minnesota begins with the academic planning process. In the spring of each year Vice Presidents, Chancellors, and Deans are asked to identify their most important program priorities and the facility improvements necessary to support those programs. Through the academic planning process, academic leadership establishes the priorities for each college and campus. Facilities Management simultaneously evaluates the current condition of the buildings and infrastructure that support all academic programs. The capital planning process merges the academic priorities, available financial resources, facility needs, and facility conditions into specific project proposals.

Although many projects have both academic and organizational value, the projects that demonstrated both a programmatic urgency and implementation readiness were advanced for further analysis in this six-year timeframe. Other factors analyzed before projects were placed in the capital plan include:

- *Projected size of future bonding bills* – The University reviews state economic forecasts, Minnesota Management and Budget debt capacity estimates and financial reports, past trends, and budget instruction documents to help shape the size of the overall capital plan.
- *Debt and operating cost impact* – The University projects debt capacity annually and builds the capital plan in adherence to the debt guidelines expressed in Board of Regents policy.
- *Private fundraising capacity* – The University evaluates its capacity to fundraise for specific projects.
- *Timing and sequencing of projects* – Many capital projects depend upon other capital project “dominoes.” For example, Pillsbury Hall, a future home for College of Liberal Arts programs, cannot be renovated until Earth Sciences are moved out of the building and into a

renovated Tate Lab, which in turn had to wait until Physics & Nanotechnology was completed.

- *Impact on academic programs (both research and instructional)* – The University manages the level of disruption that can be absorbed while still maintaining the operation of its research and teaching. Because the University does not close, renovations require “swing space” for programs to continue to operate and the institution needs to maintain a level of functional classrooms.
- *Health, safety, and regulatory requirements* – The University needs to maintain the health and safety of all its students, faculty, and staff, regardless of the program. These issues require some projects to be included in the capital plan.
- *Geographic Distribution* – The University is a system with programs and facilities across the State of Minnesota.

The resulting plan, shown in tabular form on *Attachment 2*, advances the University’s highest capital priorities while retaining flexibility in support of emerging strategic initiatives. In the case of the Six-Year Capital Plan, it is important to note that many of the investments in later years are targeted to programs with academic strategic value. Specific programmatic details remain to be determined as the project is developed.

The capital improvement plan is built around four primary stages of project development, including a) Proposal/Project Definition; b) Planning and Feasibility; c) Resource Acquisition; and d) Implementation (Design and Construction). Projects included in the Six-Year Capital Plan are eligible to begin Predesign, an exploratory process rooted in design and cost estimating that results in physical solutions to space and facility problems. Projects in the Six-Year Capital Plan that require legislative funding are submitted to the Minnesota Legislature on a biennial basis. Projects are eligible to begin fundraising once the predesign process is substantially complete.

Fully funded projects with signed predesign documents are approved by the Board of Regents in the Annual Capital Improvement Budget. Approved projects are then implemented by Capital Planning and Project Management with other key partners such as Facilities Management.

Project Costs

Project costs included in the *Six-Year Capital Plan* are order-of-magnitude estimates only because programming and predesign studies for each project have not been completed. Projections are based on square foot costs recently experienced with comparable building and space types at the University, applied to the estimated square footage of each project. Project costs are represented in 2014 dollars; the 2015 projects have been escalated to midpoint of construction as required for submission to the legislature as part of the University’s capital request. Beyond the 2015 year, cost escalation for inflation has not been included because of the uncertainty of construction inflation. When programming is completed and predesign studies are prepared for projects at the appropriate time, based on their position within the *Six-Year Plan*, more accurate cost figures will be inserted into the plan when it is updated annually.

Areas of Focus for the 2014 Six-Year Plan

The *2014 Six-Year Plan* is largely a continuation of previously expressed priorities updated to reflect the outcome of the 2014 Capital Request to the MN Legislature. The plan also includes changes based on updated facility condition assessment data, new priorities emerging from the Twin Cities Campus strategic planning process, and a biennial operating budget proposal to the 2015 legislature that places a greater emphasis on repair and replacement (R & R) funds in lieu of capital request-based HEAPR funds.

The 2014 Six Year Plan was designed to further the following objectives:

- Advance strategic plan priorities
- Enhance the campus-based experience
- Align projects with available revenue sources
- Increase utilization and functionality of physical assets
- Complete capital investment sequences
- Reduce total campus square footage

The University is finalizing a strategic plan for the Twin Cities campus. This plan will be aligned with existing plans for the system campuses and will provide a roadmap for advancing the University's mission over the next three to five years. The Board of Regents is expected to act on adopting the new strategic plan at its October 2014 meeting. The plan articulates a new, inspirational vision: "[to] be preeminent in solving the grand challenges of a diverse and changing world." In pursuit of this vision, the University will:

- Leverage its breadth and depth to capitalize on its exceptional students, faculty, staff and location to generate and disseminate new knowledge and insights
- Create an educated populace able to identify, understand and solve demanding problems
- Leverage divergent paths of knowledge and creativity to address grand challenges
- Partner with communities and the people of the State of Minnesota to benefit the common good

To this end, the University is advancing four broad goals, each with related strategies and tactics:

- *Goal 1 - Build an exceptional University where grand societal challenges are addressed.* Strategies - Educate, cultivate, and empower leaders to foster institutional and societal change; target resources that will build capacity to harness the University's depth and breadth to address these grand challenges; prepare students who can uniquely contribute to solving grand societal challenges; transform curricula in a way that combines grand challenges with disciplines; and coordinate and leverage research in institutionally cross-cutting areas of strength
- *Goal 2 - Support excellence and, with intention, reject complacency.* Strategies - Establish incentives for creative disruption and accept productive tension; increase efforts to empower individual initiatives; streamline rules and regulations; and measure and set goals for meaningful diversifying experiences
- *Goal 3 - Establish a culture of reciprocal engagement, capitalizing on our unique location.* Strategies - Better leverage our location for the mutual benefit of the University

and the community to contribute to and benefit from a vibrant and enriching economic, creative, social, and intellectual environment; and clearly define and embrace what it means to be a land-grant research university in the 21st century

- *Goal 4 - Aggressively recruit, retain and promote field shaping researchers and teachers.*
Strategies - Build a pipeline to recruit and retain the best and brightest field shaping teachers and researchers; support their work with needed infrastructure and a culture of high expectations; reduce barriers to productive transdisciplinarity and advance transinstitutional partnerships; and accelerate transfer of knowledge for the public good

The final plan will include short and long term actions in each of these goal areas and each campus will align its unique goals that meet the needs of the students and regions they serve.

These objectives are the foundation of a long term capital plan that balances programmatic needs against facility condition related investments distributes opportunity geographically throughout the UMN system and completes in-process capital investment sequences.

Project Descriptions

Project Descriptions for each year of the plan can be found in Attachment 3.

Also included in Attachment 2 is a list of *Other Projects Under Consideration*. These needs were identified through the Six-Year Capital Planning process as important investments based on collegiate and academic priorities. The potential projects identified on the list are not sufficiently developed in terms of their programmatic needs and the strategic value of their investment to be placed into the Six Year Plan, but are expected to further refine their planning over the near term. Some of the unresolved issues may include project scope, location or funding source. The list of *Other Projects Under Consideration* gives an indication of the potential next tier of capital projects, while allowing some flexibility to respond to changing trends as well as emerging academic priorities.

UNIVERSITY OF MINNESOTA

2014 Six Year Capital Plan

Attachment 2

Six Year Plan - Project Funding Report

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2015

Stage: Resource Acquisition

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
400	HEAPR	Systemwide	\$55,000	\$55,000	\$0
447	St. Paul Greenhouse Replacement	UMTC	\$6,000	\$4,000	\$2,000
405	Veterinary Isolation Facility Replacement	UMTC	\$27,000	\$18,000	\$9,000
			\$88,000	\$77,000	\$11,000
		FY Total:	\$88,000	\$77,000	\$11,000
		Running Total:	\$88,000	\$77,000	\$11,000

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2016

Stage: **Planning & Feasibility**

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
398	HEAPR	Systemwide	\$50,000	\$50,000	\$0
408	Health Science Facility Repurposing	UMTC	\$65,000	\$43,300	\$21,700
410	Chemical Sciences and Advanced Materials Building	UMD	\$36,000	\$24,000	\$12,000
411	Pillsbury Hall Renovation	UMTC	\$27,000	\$18,000	\$9,000
403	St. Paul Interdisciplinary Laboratory	UMTC	\$46,000	\$30,700	\$15,300
448	10 Church Street SE Repurposing	UMTC	\$30,000	\$20,000	\$10,000
			\$254,000	\$186,000	\$68,000
FY Total:			\$254,000	\$186,000	\$68,000
Running Total:			\$342,000	\$263,000	\$79,000

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2017

Stage: **Planning & Feasibility**

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
401	HEAPR	Systemwide	\$45,000	\$45,000	\$0
415	Collections and Contemporary Learning	UMTC	\$40,000	\$26,700	\$13,300
449	Programmatic Renewal (UMD, UMM, UMC)	Systemwide	\$18,000	\$12,000	\$6,000
			\$103,000	\$83,700	\$19,300
FY Total:			\$103,000	\$83,700	\$19,300
Running Total:			\$445,000	\$346,700	\$98,300

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2018

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
399	HEAPR	Systemwide	\$40,000	\$40,000	\$0
441	AHC Interprofessional Education Center	UMTC	\$100,000	\$66,700	\$33,300
455	Child Development Replacement	UMTC	\$21,000	\$14,000	\$7,000
452	Research and Outreach Center Investments	ROCs & Stations	\$6,000	\$4,000	\$2,000
409	St. Paul Research Laboratory Renovation	UMTC	\$24,000	\$16,000	\$8,000
451	Undergraduate Teaching Laboratory Facility	UMTC	\$42,000	\$28,000	\$14,000
			\$233,000	\$168,700	\$64,300
FY Total:			\$233,000	\$168,700	\$64,300
Running Total:			\$678,000	\$515,400	\$162,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2019

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
402	HEAPR	Systemwide	\$40,000	\$40,000	\$0
453	West Bank Classrooms Replacement	UMTC	\$30,000	\$20,000	\$10,000
			\$70,000	\$60,000	\$10,000
		FY Total:	\$70,000	\$60,000	\$10,000
		Running Total:	\$748,000	\$575,400	\$172,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2020

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
446	HEAPR	Systemwide	\$40,000	\$40,000	\$0
414	Academic Priority	UMR	\$45,000	\$30,000	\$15,000
454	AHC Strategic Investment	UMTC	\$70,000	\$46,700	\$23,300
457	Biosystems & Ag Engineering Laboratory Renovation	UMTC	\$50,000	\$33,300	\$16,700
456	Chemistry Research Laboratory Investment	UMTC	\$30,000	\$20,000	\$10,000
450	McNeal Hall Renovation	UMTC	\$24,000	\$16,000	\$8,000
			\$259,000	\$186,000	\$73,000
FY Total:			\$259,000	\$186,000	\$73,000
Running Total:			\$1,007,000	\$761,400	\$245,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

Under Consideration / Evaluation

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
463	UMD Academic Priority	UMD	\$0	\$0	\$0
			\$0	\$0	\$0

University Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds	
461	Admissions Welcome Center	UMTC	\$0	\$0	\$0	
444	Athletics Facilities Phase 1 Projects	UMTC	\$0	\$0	\$0	
407	Biological Sciences Active Learning Classrooms	UMTC	\$0	\$0	\$0	
419	Bolstad Golf Course Renovation	UMTC	\$0	\$0	\$0	
460	Field House Renovation	UMTC	\$0	\$0	\$0	
459	Pioneer Hall Renovation or Replacement	UMTC	\$0	\$0	\$0	
462	Public Space Reinvestments	UMTC	\$0	\$0	\$0	
431	Recreational Sports Project	UMTC	\$0	\$0	\$0	
416	Space Utilization Program	UMTC	\$0	\$0	\$0	
418	Superblock Dining Replacement	UMTC	\$0	\$0	\$0	
425	Washington Ave Bridge and Plaza	UMTC	\$0	\$0	\$0	
			\$0	\$0	\$0	
			FY Total:	\$0	\$0	\$0
			Running Total:	\$1,007,000	\$761,400	\$245,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

Definitions

Proposal: Projects in this stage represent preliminary conceptual ideas regarding program need and related capital requirements. Local units normally identify these ideas as part of the compact process. Projects do not have permission to begin pre-design or fundraising without administrative approval from the Capital Oversight Group.

Planning and Feasibility: Projects in this stage have been determined to be an institutional priority and have been approved to begin pre-design activities. Financial feasibility, including the completion of a fundraising feasibility study with the University of Minnesota Foundation, is assessed at this stage.

Resource Acquisition: Projects in this stage have an approved pre-design document and have been approved to actively seek funds.

Six Year Plan - Project Description Report

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

400 HEAPR

Vice President: Systemwide

Campus: Systemwide

Facility: Systemwide

Total Cost: \$55,000

Description: This request is for funds used system-wide to maximize and extend the life of the University's existing physical plant. Individual projects will fall into one of four broad categories – Health and Safety, Building Systems, Energy Efficiency, and Utility Infrastructure. The system-wide HEAPR advisory committee makes recommendations on individual projects to the Vice President for University Services using data from the Facility Condition Assessment and Building Code Deficiency Report. HEAPR funds do not require a one-third University funding match. Funding for the HEAPR program is included each year in the legislative request.

RFC: Systemwide

RFC Contact:

Year: 2015

Stage: Resource Acquisition

403 St. Paul Interdisciplinary Laboratory

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$46,000

Description: This project will construct a new interdisciplinary research laboratory building for the College of Biological Sciences (CBS), College of Food, Agricultural, and Natural Resource Sciences (CFANS), and College of Veterinary Medicine (CVM). The new facility will accommodate principal investigators in fields such as plant pathology, animal infectious diseases, microbial systems, synthetic biology, and fungal evolution. This project was included in the University's 2014 capital request.

RFC: Academic Affairs

RFC Contact: Hanson, K.

Year: 2016

Stage: Planning & Feasibility

405 Veterinary Isolation Facility Replacement

Vice President: Health Sciences

Campus: UMTC

Facility: New Facility

Total Cost: \$27,000

Description: This project will create a biocontainment facility for the College of Veterinary Medicine to house and perform research with large animals and pathogenic agents. The initial program definition, which will be confirmed in pre-design, has suggested a 38,500 gross square feet (GSF) facility comprised of biocontainment laboratories, large animal isolation space and a small animal vivarium. The existing Veterinary Isolation Buildings will be demolished following the construction of this project.

RFC: College of Veterinary Medicine

RFC Contact: Ames, T.

Year: 2015

Stage: Resource Acquisition

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

407 Biological Sciences Active Learning Classrooms

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will convert existing classroom space on the fourth floor of Biological Sciences Center into active learning classrooms for laboratory based Biological Sciences coursework.

RFC: College of Biological Sciences

RFC Contact: Hays, T.

Year: Under Consideration / Evaluation

Stage: Proposal

408 Health Science Facility Repurposing

Vice President: Health Sciences

Campus: UMTC

Facility: Phillips-Wangensteen Building

Total Cost: \$65,000

Description: This project will renovate office, clinic, and lab space in the Phillips Wangensteen Building and other AHC spaces that will be vacated by groups that will relocate to the Ambulatory Care Clinic and research buildings in the Biomedical Discovery District. The renovated spaces will be a mixture of office, classroom, and laboratory space and will allow the Academic Health Center to undertake a multi-phased process of consolidating space assignments and decommissioning obsolete facilities.

RFC: Health Sciences

RFC Contact: Jackson, B.

Year: 2016

Stage: Planning & Feasibility

409 St. Paul Research Laboratory Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$24,000

Description: This investment will renovate laboratories in one or more research buildings on the St. Paul Campus. Renovation of space will be prioritized to achieve collegiate goals of synergy among researchers and to allow for the demolition of obsolete St. Paul campus research space.

RFC: Academic Affairs

RFC Contact: Hanson, K.

Year: 2018

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

410 Chemical Sciences and Advanced Materials Building

Vice President: Duluth Campus

Campus: UMD

Facility: New Facility

Total Cost: \$36,000

Description: The project will construct a new building on the Duluth campus to support faculty and students in the Departments of Chemistry and Biochemistry, and advance an emergent Material Science and Engineering program. The building will be comprised of research and undergraduate instructional laboratories, a research center dedicated to industrial/academic partnerships with direct connections to industry in northeast Minnesota, and medium-sized general purpose classrooms that are in short supply on the campus. This project was included in the University's 2014 capital request.

RFC: Swenson College of Science and Engineering

RFC Contact: Black, L.

Year: 2016

Stage: Planning & Feasibility

411 Pillsbury Hall Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: Pillsbury Hall

Total Cost: \$27,000

Description: This project will preserve and enhance Pillsbury Hall after the current occupants move into the renovated Tate Laboratory. New teaching and learning spaces will replace outdated and inefficient laboratories that no longer support modern scientific study and research. Mechanical and electrical systems, restrooms and accessibility will be updated with this historically sensitive renovation. Funding for Tate Laboratory was approved in the University's 2014 capital request.

RFC: College of Liberal Arts

RFC Contact: Duvall, R.

Year: 2016

Stage: Planning & Feasibility

414 Academic Priority

Vice President: Rochester Campus

Campus: UMR

Facility: New Facility

Total Cost: \$45,000

Description: The project will create academic space for the growing UMR student community. Master plan projections indicate that the campus is expected to be outgrown its existing facilities by 2020 prompting the need for additional dedicated academic space. The proposed building will include space to support active, collaborative, and adaptive learning environments, space for student laboratories, space for faculty/student interaction, and space that is open and adaptable.

RFC: Academic Affairs

RFC Contact: Lehmkuhle, S.

Year: 2020

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

415 Collections and Contemporary Learning

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$40,000

Description: This project will address the collections needs of multiple colleges and the University Libraries by providing space for storage, preservation, regeneration, and characterization of essential resources that support research across the University system. Project planning will include an analysis of options to reconfigure stack space into areas that will engage faculty and students and support contemporary learning and scholarship.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2017

Stage: Planning & Feasibility

416 Space Utilization Program

Vice President: University Services

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will support a variety of efforts directed at improving the utilization of existing campus space. Near term efforts are focused on implementing pilot projects to match work styles, technology and organizational structure with an overall reduction in space that better suits work methods. Decommissioning and demolition will be an equally important element of this strategy.

RRC: University Services Admin

RRC Contact: Swanson, B.

Year: Under Consideration / Evaluation

Stage: Proposal

418 Superblock Dining Replacement

Vice President: University Services

Campus: UMTC

Facility: New Facility

Total Cost: \$0

Description: This project will construct a new consolidated dining facility for the four residence halls in the superblock. The two existing facilities are under-sized and not capable of providing the level of food service expected by today's students. A consolidated facility will result in additional operational efficiencies.

RRC: Housing & Residential Life

RRC Contact: Scheich, L.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

419 Bolstad Golf Course Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: Bolstad Golf Course

Total Cost: \$0

Description: This project will renew the existing golf course through investments in the course, clubhouse, and maintenance/storage facilities. Project timing is dependent on fundraising.

RFC: Recreational Sports

RFC Contact: Brown, D.

Year: Under Consideration / Evaluation

Stage: Proposal

425 Washington Ave Bridge and Plaza

Vice President: University Services

Campus: UMTC

Facility: Washington Avenue Bridge

Total Cost: \$0

Description: This project will restore or replace the Washington Avenue Bridge pedestrian enclosure and address circulation, sightlines, aesthetics and functionality of the Washington Avenue Bridge plaza area as a gathering place and event space.

RFC: Facilities Management

RFC Contact: Berthelsen, M.

Year: Under Consideration / Evaluation

Stage: Proposal

431 Recreational Sports Project

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project is the final component of the Recreational Sports improvement plan funded by the Twin Cities campus student capital enhancement fee. Remaining identified needs include a satellite West Bank facility and outdoor recreation fields.

RFC: Recreational Sports

RFC Contact: Brown, D.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

441 AHC Interprofessional Education Center

Vice President: Health Sciences

Campus: UMTC

Facility: New Facility

Total Cost: \$100,000

Description: This project will address fundamental changes in health sciences education and training programs driven by accreditation requirements and faculty and student expectations. The new facility will consolidate and expand current learning environments and may include simulation centers, clinical care skills labs, multimedia learning labs, technology enhanced library and study spaces and interactive learning environments for connecting with the Duluth and Rochester campuses. The specific program will be determined following a strategic review of curriculum changes across the AHC schools.

RRC: Health Sciences

RRC Contact: Jackson, B.

Year: 2018

Stage: Proposal

444 Athletics Facilities Phase 1 Projects

Vice President: Athletics

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will invest in athletic practice and academic facilities to provide University of Minnesota student athletes with the best opportunity to succeed and ensure the University remains competitive with other Big Ten schools. Top priorities for investment include a new football practice facility, academic support and training table facilities. This project is dependent on fundraising efforts.

RRC: Intercollegiate Athletics

RRC Contact: Teague, N.

Year: Under Consideration / Evaluation

Stage: Proposal

447 St. Paul Greenhouse Replacement

Vice President: Academic Affairs

Campus: UMTC

Facility: Plant Growth Facilities-West

Total Cost: \$6,000

Description: This project will renovate or replace collections and teaching greenhouse space on the St. Paul Campus. The greenhouse will be furnished with modern temperature, humidity and lighting controls and monitored via the master greenhouse campus control system. This project was included in the University's 2014 capital request.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2015

Stage: Resource Acquisition

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

448 10 Church Street SE Repurposing

Vice President: Academic Affairs

Campus: UMTC

Facility: 10 Church Street SE

Total Cost: \$30,000

Description: This project will renovate the existing Bell Museum for the College of Design following the completion of the new Bell Museum on the St. Paul Campus.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2016

Stage: Planning & Feasibility

449 Programmatic Renewal (UMD, UMM, UMC)

Vice President: Systemwide

Campus: Systemwide

Facility: System Campuses

Total Cost: \$18,000

Description: This program will fund facility improvements that support academic and student-focused programmatic needs in existing facilities on the Duluth, Morris and Crookston campuses.

RRC: Systemwide

RRC Contact: Multiple

Year: 2017

Stage: Planning & Feasibility

450 McNeal Hall Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: McNeal Hall

Total Cost: \$24,000

Description: This project will bring Minneapolis based CEHD departments together on the St. Paul campus in space that will be vacated by the College of Design. The research-driven focus of these units is in alignment with recent efforts by CEHD to establish a vibrant, research community in St. Paul and allows for the demolition of Peik Hall in Minneapolis.

RRC: College of Education and Human Development

RRC Contact: Quam, J.

Year: 2020

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

451 Undergraduate Teaching Laboratory Facility

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$42,000

Description: This project will provide state-of-the-art, energy efficient teaching laboratories, student collaboration spaces, and classrooms for teaching undergraduate chemistry laboratory courses. The new laboratories will replace and improve upon outdated facilities currently spread throughout multiple locations (including faculty research laboratories) in Smith and Kolthoff Halls. Adequate laboratory space is a limiting factor in the University's ability to meet the demand for STEM related programs.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2018

Stage: Proposal

452 Research and Outreach Center Investments

Vice President: Systemwide

Campus: ROCs & Stations

Facility: Systemwide

Total Cost: \$6,000

Description: This program will fund a variety of projects at the Research and Outreach Centers across the state.

RRC: Systemwide

RRC Contact: Buhr, B.

Year: 2018

Stage: Proposal

453 West Bank Classrooms Replacement

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$30,000

Description: This project will replace existing traditional learning space on the Minneapolis West Bank Campus with active learning classrooms.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2019

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

454 AHC Strategic Investment

Vice President: Health Sciences

Campus: UMTC

Facility: TC Campus

Total Cost: \$70,000

Description: This project will address needs identified by Academic Health Center strategic facility planning.

RRC: Health Sciences

RRC Contact: Jackson, B.

Year: 2020

Stage: Proposal

455 Child Development Replacement

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$21,000

Description: This project will replace the functionally obsolete Child Development building with new offices, seminar rooms, and research facilities for the Institute of Child Development, as well as state-of-the-art facilities for the Shirley G. Moore Laboratory School. The new building will provide a modern, adaptable environment to support innovative programmatic applications, translating current research and theory into best practices.

RRC: College of Education and Human Development

RRC Contact: Quam, J.

Year: 2018

Stage: Proposal

456 Chemistry Research Laboratory Investment

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$30,000

Description: This project will renovate the antiquated teaching labs in Smith and Kolthoff Halls to state-of-the-art energy efficient research space needed for new faculty in the chemistry department. The project will improve lab bench, equipment and research support spaces and create opportunity for more specialized research experimentation. It will accommodate a greater number of faculty and graduate assistants needed to support the growing undergraduate enrollment in Chemistry.

RRC: College of Science and Engineering

RRC Contact: Crouch, S.

Year: 2020

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

457 Biosystems & Ag Engineering Laboratory Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: Biosystems & Ag Engineering

Total Cost: \$50,000

Description: This project will provide new research laboratories to meet growing demands and satisfy requirements of federal grant proposals for CFANS. It will consolidate CFANS departments by grouping users in functionally appropriate space. Computational labs will be constructed in BAE and wet lab or volumetric research in Engineering Fisheries Laboratory. A new second floor will be added to Engineering and Fisheries Laboratory, maximizing the usable space for research.

RRC: College of Food, Agricultural and Natural Resource Sciences

RRC Contact: Buhr, B.

Year: 2020

Stage: Proposal

459 Pioneer Hall Renovation or Replacement

Vice President: University Services

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will explore options meeting the facility renewal needs of Pioneer Hall.

RRC: Housing & Residential Life

RRC Contact: Scheich, L.

Year: Under Consideration / Evaluation

Stage: Proposal

460 Field House Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will make necessary improvements to the exterior of the Field House facility originally relocated to the University from Washington in 1949.

RRC: Recreational Sports

RRC Contact: Brown, D.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

461 Admissions Welcome Center

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will explore options for consolidating freshman, transfer and international student admissions into a single more publicly accessible location.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: Under Consideration / Evaluation

Stage: Proposal

462 Public Space Reinvestments

Vice President: University Services

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This program will fund a variety of small physical enhancements intended to improve the campus experience for students, employees and visitors.

RRC: Facilities Management

RRC Contact: Berthelsen, M.

Year: Under Consideration / Evaluation

Stage: Proposal

463 UMD Academic Priority

Vice President: Duluth Campus

Campus: UMD

Facility: UMD Campus

Total Cost: \$0

Description: This project will address academic facility needs on the Duluth campus. Academic, financial and physical planning processes on the Duluth campus will identify the campus's priorities for its next major investment.

RRC: Academic Affairs

RRC Contact: Black, L.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

Definitions

Proposal: Projects in this stage represent preliminary conceptual ideas regarding program need and related capital requirements. Local units normally identify these ideas as part of the compact process. Projects do not have permission to begin pre-design or fundraising without administrative approval from the Capital Oversight Group.

Planning and Feasibility: Projects in this stage have been determined to be an institutional priority and have been approved to begin pre-design activities. Financial feasibility, including the completion of a fundraising feasibility study with the University of Minnesota Foundation, is assessed at this stage.

Resource Acquisition: Projects in this stage have an approved pre-design document and have been approved to actively seek funds.

President's Recommended Six-Year Capital Improvement Plan

Board of Regents
October 2014



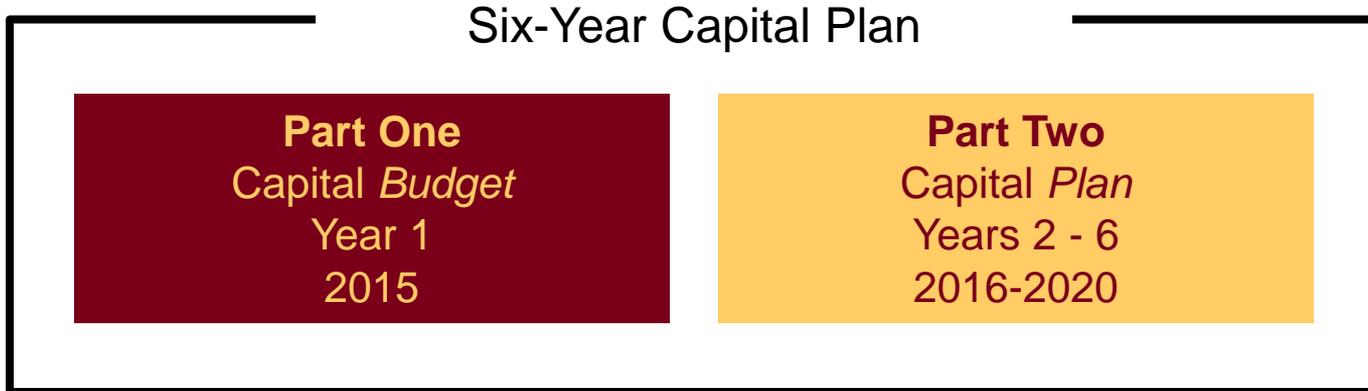
UNIVERSITY OF MINNESOTA

Driven to DiscoverSM



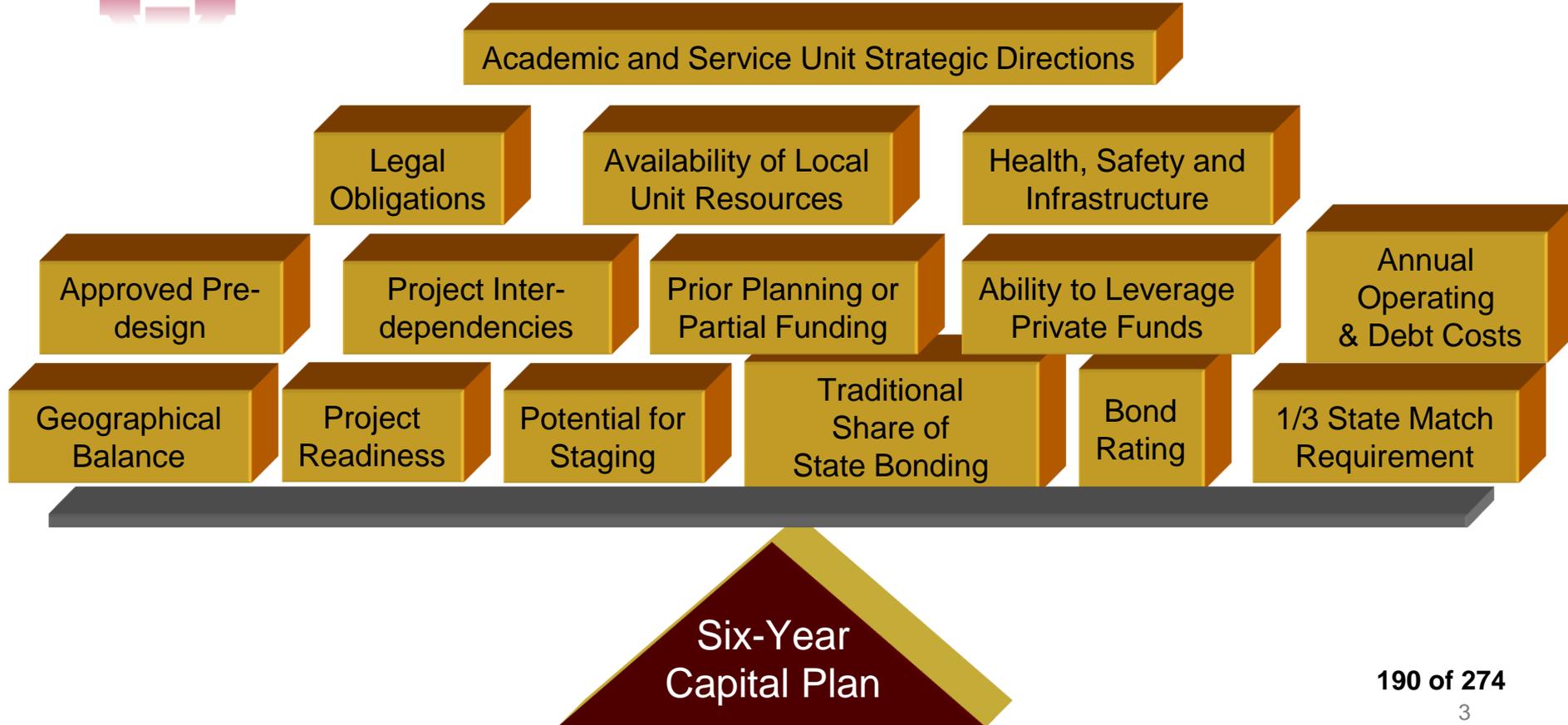
What is the Six-Year Capital Plan?

- Board of Regents Policy directs the administration to develop a capital budget with a “six-year time horizon, updated annually”



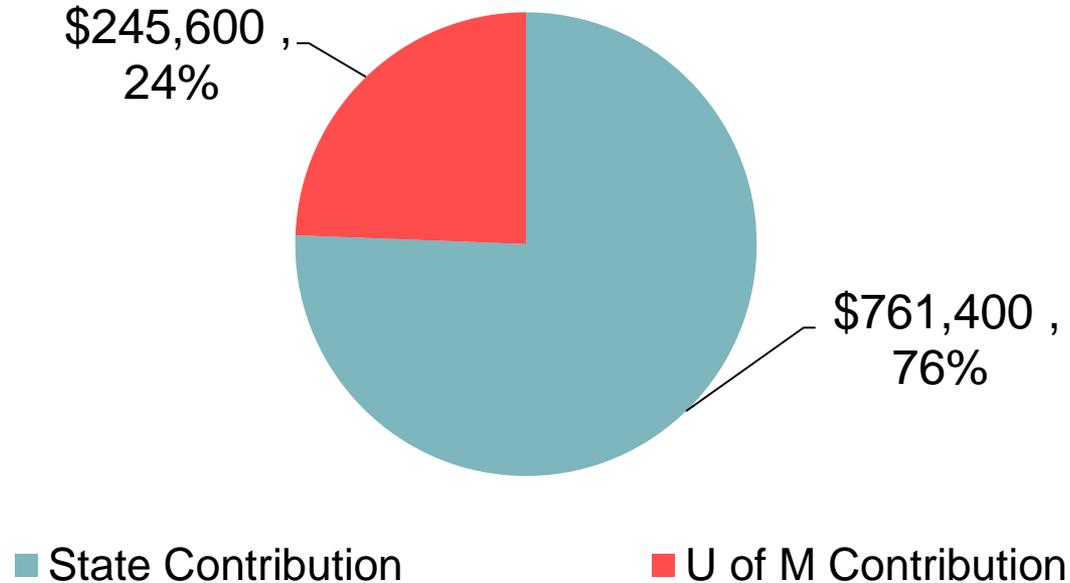


Considerations and Constraints





Recommended Six-Year Capital Improvement Plan Grand Total = \$1,007,000





Resolution

WHEREAS, preserving the University campuses through stewardship of public investments that have been made over 150 years is a commitment the Board has made to the State; and

WHEREAS, advancing key academic priorities is critical for the University to achieve and maintain excellence; and

WHEREAS, continuing investment in research infrastructure is essential for the future competitiveness of the University and the State of Minnesota; and

WHEREAS, enhancing the student experience for both undergraduate education and graduate and professional education is required as the core of its mission in order to generate and disseminate knowledge; and

WHEREAS, improving outreach and engagement is necessary in order to transform State communities, fuel the State economy, address State social issues, and improve the State's health; and

WHEREAS, the administration has developed a capital-planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is responsible.

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents approves the President's Six-Year Capital Improvement Plan in order to create and maintain facilities that serve as tools in accomplishing the University's education, research and outreach objectives.

President's Recommended 2015 State Capital Request

Board of Regents
September 12, 2014



UNIVERSITY OF MINNESOTA

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Financial Summary

Request
dollars in thousands

Location	Project	Total	State	U of MN	
SYSTEM	HEAPR	\$ 55,000	\$ 55,000	\$ -	
UMTC	Veterinary Isolation Facility Replacement	\$ 27,000	\$ 18,000	\$ 9,000	
UMTC	St. Paul Greenhouse Replacement	\$ 6,000	\$ 4,000	\$ 2,000	
		Total:	\$ 88,000	\$ 77,000	\$ 11,000



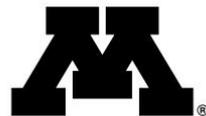
Resolution

WHEREAS, the Board of Regents has directed the administration to annually submit a capital improvement budget and a six-year capital improvement plan in support of the University's strategic priorities; and

WHEREAS, the Board of Regents recognizes the importance of sustaining and improving the University's facilities in support of teaching, research, and outreach; and

WHEREAS, the administration has developed a capital planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is realistic;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents approves the University's 2015 State Capital Request to the Minnesota Legislature in the amount of \$88,000,000 consisting of \$77,000,000 from the State of Minnesota and \$11,000,000 from the University of Minnesota.



UNIVERSITY OF MINNESOTA

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UniversityofMinn



UMNews



UofMN



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: President's Recommended 2015 State Capital Budget Request

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

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

Purpose & Key Points

Board policy requires the Board to approve the University's legislative capital request before it is submitted for consideration by the Governor and the Legislature.

The 2015 request contains three projects: Higher Education Asset Preservation and Replacement (HEAPR) funds, the replacement of the Veterinary Isolation Laboratory, and the replacement of a greenhouse on the St. Paul campus. All three projects were identified in the 2013 Six-Year Capital plan. The greenhouse project was previously included in the University's 2014 legislative capital request in the Laboratory Improvement fund line item but was not funded.

Additional project information can be found in the Six Year Capital Plan docket information.

Background Information

In September 2013, the Board approved the 2014 State Capital Budget Request.

President's Recommendation

The President recommends approval of the 2015 State Capital Budget Request.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO THE

2015 STATE CAPITAL REQUEST

WHEREAS, the Board of Regents has directed the administration to annually submit a capital improvement budget and a six-year capital improvement plan in support of the University's strategic priorities; and

WHEREAS, the Board of Regents recognizes the importance of sustaining and improving the University's facilities in support of teaching, research, and outreach; and

WHEREAS, the administration has developed a capital planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is realistic;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents approves the University's 2015 State Capital Request to the Minnesota Legislature in the amount of \$88,000,000 consisting of \$77,000,000 from the State of Minnesota and \$11,000,000 from the University of Minnesota.

2015 Capital Request

Request Summary (Prioritized):

Location	Project	Total	State	UMN
SYSTEM	HEAPR	\$ 55,000	\$ 55,000	\$ 0
UMTC	Veterinary Isolation Facility Replacement	\$ 27,000	\$ 18,000	\$ 9,000
UMTC	St. Paul Greenhouse Replacement	\$ 6,000	\$ 4,000	\$ 2,000
Total:		\$ 88,000	\$ 77,000	\$ 11,000

dollars in thousands

Project Summaries:

1. *Higher Education Asset Preservation and Replacement (HEAPR)* - This request is for funds used system-wide to maximize and extend the life of the University's existing physical plant. Individual projects will fall into one of four broad categories - Health and Safety, Building Systems, Energy Efficiency, and Utility Infrastructure. The system-wide HEAPR advisory committee makes recommendations on individual projects to the Vice President for University Services using data from the Facility Condition Assessment and Building Code Deficiency Report. HEAPR funds do not require a 1/3 University funding match.
2. *Veterinary Isolation Facility Replacement* - This project will create a biocontainment facility for the College of Veterinary Medicine to house and perform research with large animals and pathogenic agents. The initial program definition, which will be confirmed in predesign, has suggested a 38,500 gross square feet (GSF) facility comprised of biocontainment laboratories, large animal isolation space and a small animal vivarium. The existing Veterinary Isolation Buildings will be demolished following the construction of this project.
3. *St. Paul Greenhouse Replacement* – This project will renovate or replace collections and teaching greenhouse space on the St. Paul Campus. The greenhouse will be furnished with modern temperature, humidity and lighting controls and monitored via the master greenhouse campus control system. This project was included in the University's 2014 capital request.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Update on University of Minnesota Health

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: Brooks Jackson, Dean of the Medical School and Vice President for Health Sciences
Bobbi Daniels, Co-President of University of Minnesota Health, CEO of University of Minnesota Physicians, and Vice Dean for Clinical Affairs, Medical School

Purpose & Key Points

The purpose of this item is to provide an update on progress in implementing University of Minnesota Health; share University of Minnesota Health's strategic plan; and discuss opportunities and challenges in the changing health care marketplace.

There has been significant progress in the development and implementation of University of Minnesota Health. The brand has been launched, the board is active, organizational changes are underway, and all parties are beginning to operate under a common vision.

University of Minnesota Health, University of Minnesota Physicians and Fairview Health Services have each recently adopted a new strategic plan. The plans are coordinated and reflect a shared vision that we will become a national leader in clinical outcomes, research, and education through better integration and innovation.

University of Minnesota Health strategic priorities include:

- Enhancing relationships with providers and payers.
- Developing focused clinical activities with sustainable competitive differentiation for key programs of distinction.
- Implementing innovative methods to provide high quality interdisciplinary care, increased access, and improved services.
- Financial performance to support priority investment.

Opportunities underway include preparations for the new University of Minnesota Health Clinics and Surgery Center, which is on schedule to open in January 2016; and the implementation of innovation grants to teams of University faculty and Fairview clinicians to investigate ways to improve patient safety and quality outcomes.

Challenges include the consolidating marketplace, internal communication, and culture change.

Background Information

The Board of Regents approved the formation of University of Minnesota Health in May 2013.

The Board of Regents approved the naming and branding of University of Minnesota Health in February 2014.

Update on University of Minnesota Health

Board of Regents

October 10, 2014

Brooks Jackson, MD, MBA

Dean of the Medical School and Vice President for Health Sciences

Bobbi Daniels, MD

Co-President of University of Minnesota Health

Vice Dean, Medical School and CEO, UMPPhysicians



UNIVERSITY OF MINNESOTA

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University of Minnesota Health

- Established with approval of Fairview Board, University of Minnesota Physicians Board and Board of Regents in May 2013
- University, Fairview and UMPPhysicians sharing a common commitment
 - Clinical Excellence
 - Research
 - Education
- Integration is key across the care spectrum
- Goal: A new structure to better govern, manage and operate our academic clinical enterprise



University of Minnesota
Board of Regents

President

Medical School



HEALTH

UNIVERSITY OF MINNESOTA

Governance, Management and Operational Model

UMPhysicians
Board of Directors

Fairview Health Services
Board of Directors

UMN Health
Board of Directors
Limited Liability
Company

UMMC President / UMP CEO

UMMC

FHS/UMP
Joint Services

UMP
Clinics

Clinics and
Surgery Center



UNIVERSITY OF MINNESOTA

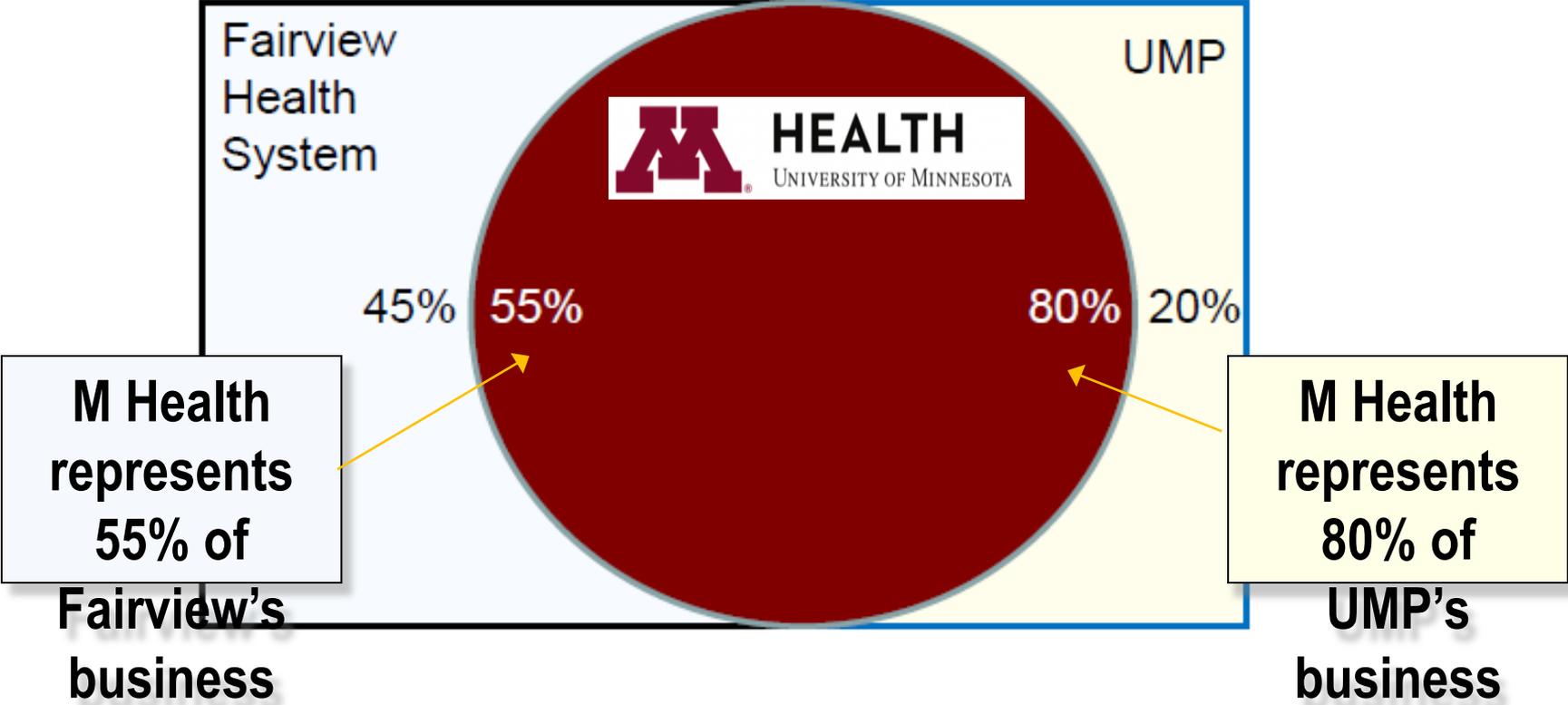
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Scope of University of Minnesota Health

- UMMC: inpatient and outpatient
- University of Minnesota Children's Hospital
- University-branded service lines across Fairview System
- UMP's activity within Fairview sites
- Maple Grove ACC Specialty Activities
- Ambulatory Care Center (Joint Venture)
 - Opens January 2016



University of Minnesota Health



The Promise of Academic Medicine

- Practices across the spectrum of care that:
 - Support education and training
 - Advance research
 - Support innovation
 - **Improve the health of individuals and communities**



The Promise of Academic Medicine

Education

- Helping define future care models
- Defining workforce needs
- Interprofessional practice models
- Need for clinical training and practice sites that model the way health care should be delivered



The Promise of Academic Medicine

Care

- Developing new models of care to deliver top quality, safety and access
- Focusing on population health
 - Integrated delivery system
 - Optimal care coordination
- Encouraging innovation, bringing the promise of academic medicine to patients



The Promise of Academic Medicine

Research

- More emphasis and funding for patient outcomes research
- Personalized medicine will require:
 - Big science
 - Multidisciplinary research teams
 - Large investments in infrastructure
- Flat NIH funding will require pursuing other sources of research funding



University of Minnesota Health

A significant first step

- Challenges of launching a new brand
- Organizational changes
- Cultural shift
- Signs of progress and indications of potential



Vision and Goals

- Vision
 - National leader in:
 - Outcomes
 - Research
 - Education
 - Ranking among the top 10 percent of academic medical centers in the nation



Vision and Goals

- Goals
 - Improve patient care
 - Provide a seamless experience
 - Develop care models in line with health care reform
 - Enhance Education
 - Generate additional funding
 - Increase standing of Medical School and other health sciences schools
 - Increase on-site training and interprofessional education
 - Support health care research
 - Increase focus on clinical trials
 - Speed research from the lab to the bedside



Inaugural Strategic Plan

- Five-year strategic plan presented in July 2014
- Approved and endorsed by:
 - University of Minnesota Health Board (July)
 - Fairview Board (August)
 - University of Minnesota Physicians Board (August)



Inaugural Strategic Plan

Strategic Priorities:

- Solidify and enhance relationships with providers and payers
- Develop focused clinical activities with sustainable competitive differentiation for key programs of distinction
- Implement innovative methods to provide high quality interdisciplinary care, increase access, and improve service
- Use ACC opening and Maple Grove to leapfrog current performance measures in service, access, quality, cost
- Establish a long-term path to sustainable financial performance to support priority investment



Inaugural Strategic Plan

Success will require:

- Capital Expenditure
- IT/Epic: Need to invest for enhanced functionality and capability
- Analytics: Unified analytics to support a single source of information
- Alignment: Within and across silos
- Decision Making: Efficient, effective and transparent decision making, with clear accountability and consequences



Inaugural Strategic Plan

Other Considerations

- Strategy around pediatric services is being developed
 - Possible partnerships
- The UMN Health Strategic Plan served as a critical element in the development of the Fairview Health System Strategic Plan
 - Endorses continued partnership
 - Moving toward an Academic Health System
- Internal communications is vital to set common expectations and to get everyone focused on common goals
 - New mission and vision statements are being developed for internal teams



UMN Health Governance

- UMN Health Board – Inaugural Meeting January 2014
- 12-member board
 - Inaugural meeting January 2014
 - Has met five times in 2014
 - Competency-based appointments
 - Majority are external leaders within the community
 - Brooks Jackson – Chair
 - Rulon Stacey – Vice-Chair
- Three committees report to the Board
 - Finance and Audit
 - Patient Care and Quality
 - Research and Education (delegated authority to UMN Health from FHS Board)



UMN Health Steps Forward

- UMN Health is on target to meet net income target for 2014
 - Guarantees full academic support payment for the Medical School
 - Enhancement to clinical research infrastructure
 - Phase one unit open at UMMC
- Creation of Interprofessional Education Task Force
 - Oversight for interprofessional alignment across UMN Health, the Academic Health Center and Fairview Health Services
- Improvements and enhancements to the Electronic Medical Record through the Strategic Plan
 - Will help facilitate data queries for outcomes research



Innovation

System-Wide Engagement Awards

- Request for proposals distributed in April
- Six-month projects to support engagement and interdisciplinary teamwork
- Projects pair an AHC faculty member with a FHS physician
- Projects selected based on ability to:
 - Improve patient outcomes
 - Reduce cost of care
 - Ability to execute
 - Potential to result in publishable research
- Three projects selected in first round (\$80,000 maximum budget)
- Seen as first in a series of Engagement Awards



University of Minnesota Health Clinics and Surgery Center

- Construction underway for opening in January 2016
- Significant work underway to prepare operationally
- New, innovative models of care being developed
- Internal communications being planned
 - Physician preparation
 - Interprofessional, “patient-centered” models



University of Minnesota Health

On the Horizon

- Implementation of our Strategic Plan with clear milestones, metrics, and accountability
- New mission and vision, with improved communication to our internal audiences
- Expanded branding and marketing efforts
- Continued work to prepare for the M Health Clinics and Surgery Center opening
- Continued discussions with FHS towards becoming an Academic Health System
- Completion of strategy for pediatric services in UMN Health





BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Demographic Trends & System-wide Enrollment Management

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: Karen Hanson, Senior Vice President for Academic Affairs and Provost

Purpose & Key Points

Staying informed about projected state demographic changes is an important part of enrollment management, tuition, and financial aid planning and policy making. Included in the docket is a report and accompanying data prepared by Minnesota State Demographer Susan Brower. Trends include:

1. An aging population will put new pressures on public budgets.
2. A slower labor force growth may alter the costs and benefits of attending college.
3. The composition of the student population will continue to change.
4. The number of Minnesota high school graduates has declined recently, and is projected to remain at current levels for the next few years.

This item will consider the ramifications of these trends for the University, its campuses, and programs; and discuss responses including examples of strategies, practices, and policies that reflect our predictions for a different environment 30 years from now.

Background Information

Board discussions related to enrollment management, tuition, and financial aid include: Undergraduate Annual Graduate Education Planning & Update (February 13, 2014); Undergraduate Education Updates & Future Goals (December 12, 2013); Tuition & Financial Aid Philosophy (December 13, 2013); Size, Scope, and Mission of the University of Minnesota: Interim Report on Enrollment Management Strategies (December 9, 2010).

Four Key Demographic Trends Poised to Impact Higher Education

Prepared by Susan Brower, Minnesota State Demographer

1. Older age structure will put new pressures on public budgets.

Over the next 15 years, the size of Minnesota's older adult population (age 65+) will grow markedly, from 800,000 in 2014 to 1.2 million in 2030. Over the same period, the number of children (age 0-17) and young adults (age 18-24) is projected to grow only modestly. These three age groups represent the main budget drivers of the state's General Fund spending. By 2030, there will be a greater number of older adults (age 65+) in Minnesota than there will be young people (age 5-17). This demographic shift is unprecedented in Minnesota. The transition from a younger to an older age structure will likely put pressure on public budgets as the Baby Boomers' need for medical assistance and long-term care grows. While the transition of the Baby Boomers into retirement is a one-time event, it also marks a parallel, more permanent, shift from a younger to an older age structure. The public budget pressures that will play out over the next 15 to 30 years will require a permanent budget response, one that realigns with Minnesota's new age structure.

The aging of the Baby Boomers could also impact the revenue side of the state budget. As the Baby Boomers move out of the labor force, a smaller cohort of young people will move in to take their place. The slower labor force growth that results from this transition could have a dampening impact on the economy overall. One study estimates that an older U.S. age-structure will dampen growth in U.S. GDP by 0.7% annually between 2009 and 2018 ([Roy & Aggarwal, 2009](#)).

2. Slower labor force growth may alter the costs and benefits of attending college.

We project that the state will experience a slowing of labor force growth from 2015 through 2045. As a result, we would expect to see more job opportunities for young adults, compared with recent and current employment prospects. We may also see upward pressure on wages if the number of jobs in the state surpasses the number of available workers. The ratio of workers to jobs will depend, of course, on a number of feedback mechanisms such as increased migration to the state, the increased productivity of workers, and employers' decisions about when and how to replace retiring workers. Greater job opportunities and higher wages could make college more affordable to young people, if students are able to work and study concurrently. However, better job prospects could also raise the opportunity costs of attending school, potentially altering decisions about when or whether to attend post-secondary school.

3. The composition of the student population will continue to change.

The population of Minnesota—and the younger population, in particular—will continue to become more racially diverse in the years ahead. In 2012, 20 percent of young adults (age 18-24) in Minnesota were People of Color, compared with 15 percent in 2000. By contrast, in 2012, 27

percent of preschoolers in the state (age 0-4) were People of Color. Institutions of Higher Education will continue to see increasingly diverse student populations as the youngest, most diverse, residents of the state age into their post-secondary years.

Other social and economic trends will continue to shape the composition of the University's student body as well. Since 2000, both the proportion of children who live with a single parent and the rate of child poverty have been on the rise. These related trends will continue to impact the ability of families to save for their children's post-secondary education and to afford college tuition.

Finally, the increased level of international immigration to the state in the past two decades suggests that the higher education institutions will continue to see increased cultural diversity among students into the future. In 2013, 15 percent of Minnesota children age 6-17 years had at least one foreign-born parent. Among children age 0-5 years, that proportion was 19. Cultural and family attitudes will continue to shape young peoples' orientations toward college, though not necessarily in a predictable direction.

4. The number of Minnesota high school graduates has declined recently, and is projected to remain at current levels for the next few years.

Projections suggest that the number of high school graduates in Minnesota peaked in 2010 and is likely to remain low over the next few years, with only modest growth to 2020. Projections for the surrounding states are similar; declines in the number of high school graduates are forecasted for most Midwestern states between 2008-09 and 2019-20. These projections are created using high school completion rates. In Minnesota, lower rates of high school completion among Students of Color relative to White students impacts the number of graduates that Minnesota will see in the coming years.

For more information on these projections, please see:

MN Office of Higher Education <http://www.ohe.state.mn.us/mPg.cfm?pageID=1290>

Western Interstate Commission for Higher Education <http://www.wiche.edu/knocking-8th>

Demographic Trends & System-wide Enrollment Management

Presentation to the Board of Regents
October 10, 2014

Karen Hanson, Senior Vice President for Academic Affairs and Provost

Rachelle Hernandez, Director, Office of Admissions, University of Minnesota Twin Cities

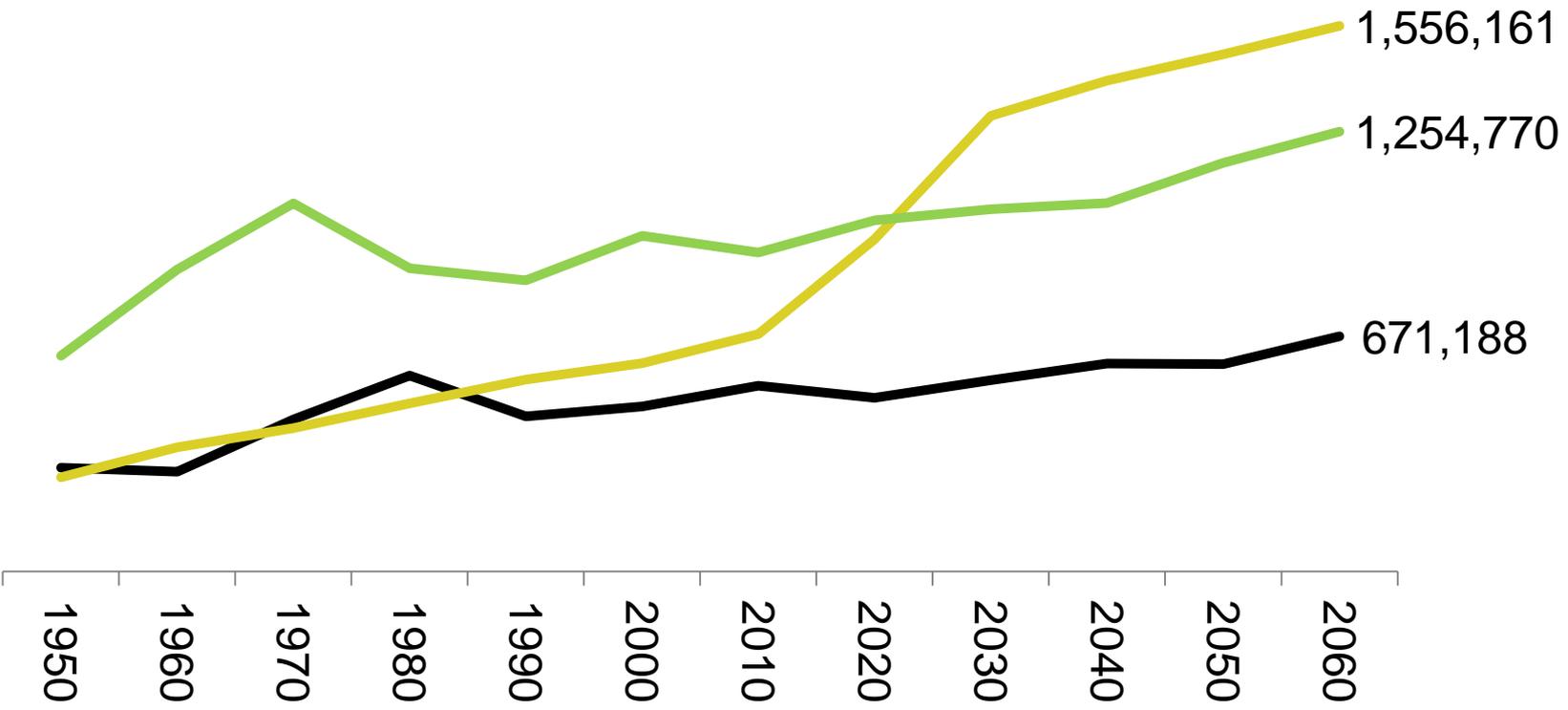
Andrea Schokker, Executive Vice Chancellor for Academic Affairs, University of Minnesota Duluth



UNIVERSITY OF MINNESOTA

Driven to DiscoverSM

More Minnesotans over 65 than school age by 2020



18-24 65+ 5-17

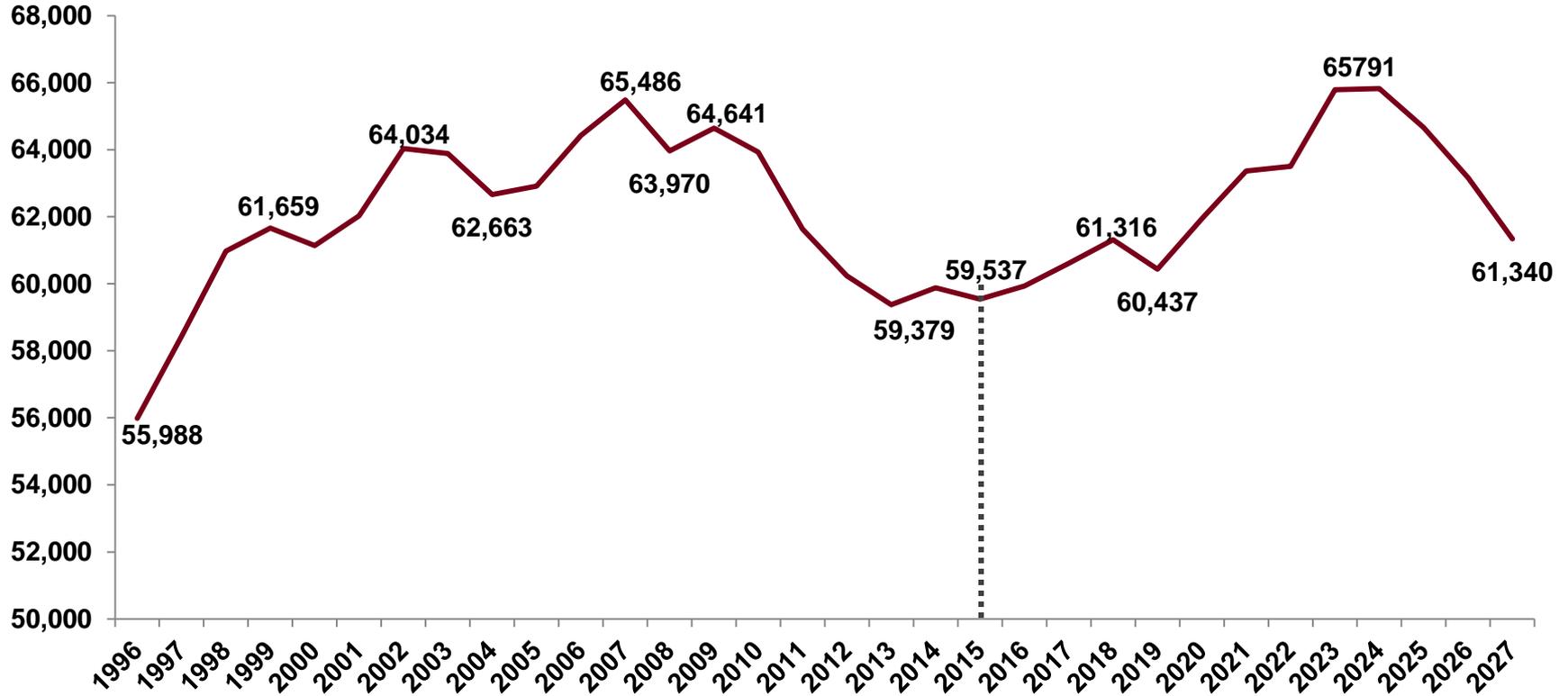
Changing High School Graduate Demographics

1. Changes in Minnesota and Midwest high school graduates
2. Increasing racial and ethnic diversity amidst high school graduate population
3. Increased competition for Minnesota students

High School Graduate Numbers in Decline

- Minnesota numbers are projected to be stagnant through 2016 and don't return to near-2007 levels until 2023.
- The entire Midwest region has been in decline, resulting in increasing competition for a smaller pool of students.

History and Projections of MN High School Grads



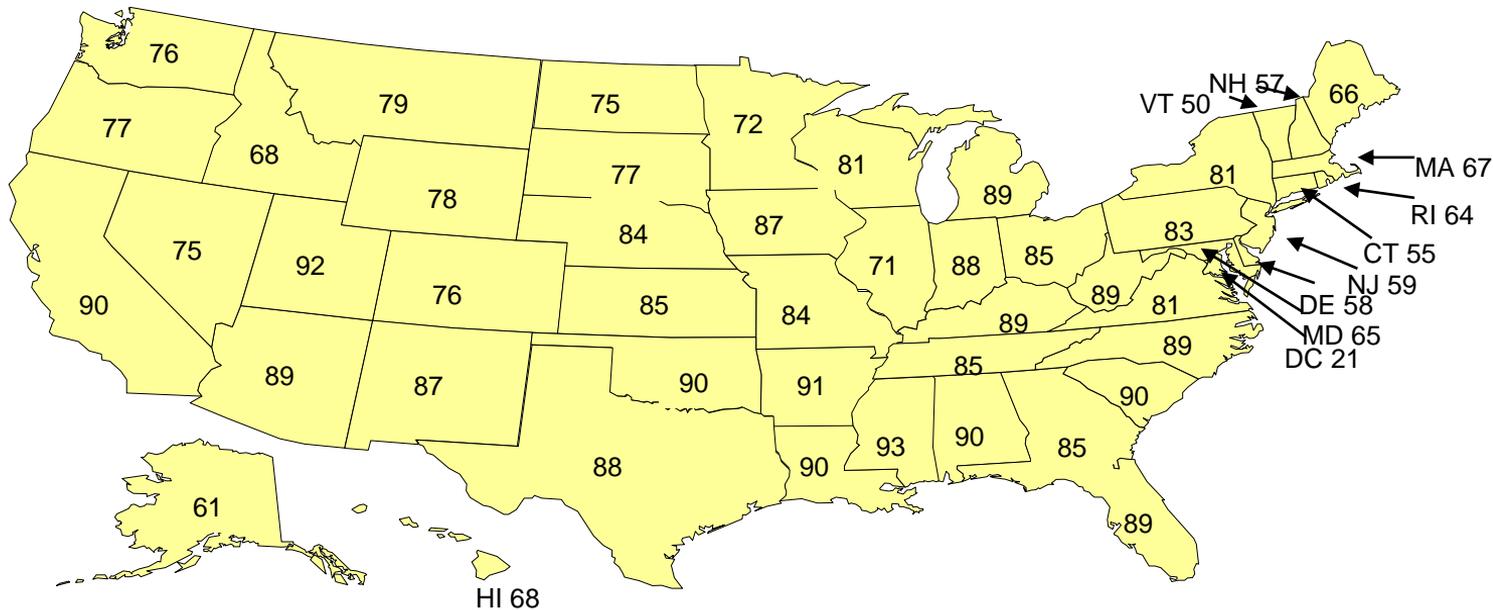
Source: Western Interstate Commission for Higher Education, *Knocking at the College Door: Projections of High School Graduates, 2012*

Increasing Racial and Ethnic Diversity

- The Western Interstate Commission on Higher Education (WICHE) predicts that multicultural students will make up 23–27% of Minnesota high school graduates by 2023 (up from 15% in 2007).
- Because of current disparities in income across Minnesota by race and ethnicity, the value proposition will continue to be a priority for students and families.

Increasing Competition for Minnesota Students

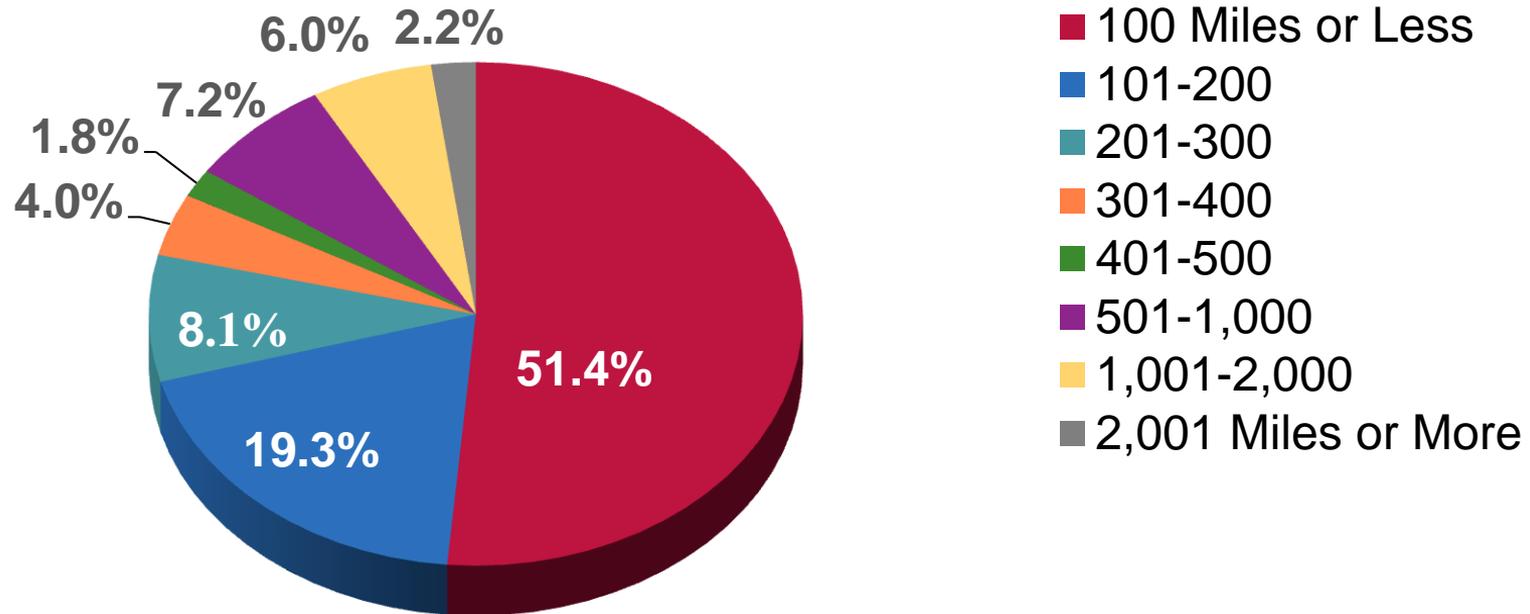
Graduates Enrolled in Colleges in Home State



Source: NCES, Digest of Education Statistics - Residence and migration of all first-time degree/certificate-seeking undergraduates in degree-granting institutions who graduated from high school in the previous 12 months, by state or jurisdiction

Enrollment Behavior - Student Mobility

70% of students will attend school within 200 miles of home



Source: Mattern, K. & Wyatt, J., "Student Choice of College: How Far Do Students Go For An Education,?", *Journal of College Admission*, Spring 2009, pp .20 - 29

**What do these trends mean
for the University of Minnesota?**

How are these trends reflected in our academic planning?

Proactive Recruitment and Enrollment Efforts

- 1. Minnesota students are a recruitment and enrollment priority.**
2. Expanded national recruitment to offset regional declines
3. Enhanced attention to diversity and multicultural student recruitment
4. Enhanced, collaborative system-wide recruitment efforts

Outcomes from Enhanced Efforts

Profile of the 2014 Twin Cities campus entering freshman (NHS) class

Measure	Number	Percent
Total new freshmen (NHS)	5,530	100.0%
Average ACT Score	27.9	
Average High School Rank	86.6	
Female students	2,904	52.5%
Male students	2,626	47.5%
Students of color	1,139	20.6%
Minnesota residents	3,539	64.0%
Wisconsin/North Dakota/South Dakota	895	16.2%
Other U.S. states	743	13.4%
International	337	6.1%

Commitment to Minnesota is a Top Priority

The University's recruitment and enrollment efforts are proactive and personal and ensure a strong commitment to Minnesota residents.

Thank you for all you do for our students and yours. It is obvious how dedicated you are to helping others achieve their goals. You have been a tremendous help [to our students and staff] .
-Minnesota High School Career Center Director

My daughter Brianne went back to the U today and really is in love with the school and got a much better feel for the St. Paul Campus. Kim sent us an email the same day we talked and has been extremely helpful... Thanks to you and the staff at the U for making it a wonderful experience.
-Parent of Minnesota high school senior

Expanded National Recruitment

To offset the impact of declining demographics across the Midwest region, we've expanded national recruitment efforts.

She painted a great picture of campus and student life. The Mom mentioned that no one from the student's high school has attended the University of Minnesota before and her son is now really interested after speaking with this alumna.

-Parent of Maryland student

I just wanted to let you know that we enjoyed the event very much...we were quite impressed with your ability to highlight the positive attributes of the University of Minnesota and make it a school to be thoughtfully considered. No small feat when your audience includes 3rd generation native Californians with strong UC campus ties.

- Parent of California student

Enhanced Diversity Efforts

Broadly defined, the University has enhanced its recruitment efforts targeting diverse student populations, including multicultural students, first-generation students, and students from lower socio-economic backgrounds.

From a parent's email titled 'Diversity projected': "Thanks for having us, it has been a great experience with the U and its performances. We love all that was presented and thinking of enrolling at the U."

"Cultural Performances! The fact that on an institution level, making an event like this for students of color, on this scale really sends a message to students about the support at the U of M for students."

"I liked that I could see that in the immensity of the U of M, we can find comunidad."

Collaborative, System-wide Recruitment Efforts

The University's campus admissions offices are working together to expand and enhance system-wide recruitment efforts, to leverage resources and connect with students and counselors across Minnesota.

Campuses: [Twin Cities](#) [Crookston](#) [Duluth](#) [Morris](#) [Rochester](#) [Other Locations](#)

UNIVERSITY OF MINNESOTA
Driven to Discover™

CROOKSTON DULUTH MORRIS ROCHESTER TWIN CITIES

SHARE MY APP LEARN MORE

UNFOLD the POSSIBILITIES

At the University of Minnesota, discovery is at the core of our teaching, research, and public service, shining in our students, our breakthroughs and the economic power the U provides to the state. Students come to the U of MN to pursue their dreams and go out into the world to improve lives.

Learn what the U of M offers. Unfold the possibilities.

Are you a student or counselor who would like to learn more about the University of Minnesota?

241 of 274

▶ Sign me up for an



UNIVERSITY OF MINNESOTA
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UniversityofMinn



UMNews



UofMN



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents Meeting

October 10, 2014

Agenda Item: Annual Report on Private Giving

Review

Review + Action

Action

Discussion

Presenters: Kathleen Schmidkofer, President and CEO, University of Minnesota Foundation
Becky Malkerson, Executive Vice President & Chief Advancement Officer,
University of Minnesota Foundation

Purpose & Key Points

The purpose of this item is to provide the Board with an annual report on fundraising and the impact of private giving across the University.

The University of Minnesota Foundation (UMF) raises private dollars for use by the University. In FY 2014, UMF recorded its second-highest gift and commitment total ever: \$282 million from 75,558 donors. In addition, UMF oversees nearly \$2 billion in endowed funds. As a result of the stewardship of the dollars invested, the foundation made available \$184 million to the University this year to be used as donors direct to fund students, faculty, research, programs, and other strategic investments.

Background Information

UMF was established in 1962 by 21 alumni and friends. It advances the University's mission of teaching, research, and outreach to the community by raising and managing private dollars for scholarships, world-class faculty, leading-edge research, new facilities, and academic programs on all five campuses of the University.

In February 2013, the University of Minnesota Foundation and the Minnesota Medical Foundation merged, forming the new University of Minnesota Foundation. The foundation is governed by a 44-member board of trustees, which includes three current regents. One-quarter of the trustees are appointed by the University's Board of Regents. The foundation actively partners with development staff from the University's colleges, schools, units, and campuses.

The alignment of the foundation's priorities with the University's strategic initiatives continues to be a key factor in successfully raising philanthropic dollars. Our shared commitment to excellence and our disciplinary depth and breadth strengthen our partnership as we look to the future.

A Powerful Performance

University of Minnesota Foundation 2014 Report on Giving

October 10, 2014

Kathy Schmidlkofer
President and CEO

Becky Malkerson
Executive Vice President and
Chief Advancement Officer



\$20 million gift commitment

Alumnus Bob Eddy, '74

One Foundation, One Voice



Integration of systems and culture

University Development Community

University of Minnesota
Twin Cities

University of Minnesota
Rochester

University of Minnesota
Duluth

University of Minnesota
Morris

University of Minnesota
Crookston

Twin Cities Development Community

Twin Cities Colleges

College of Liberal Arts

College of Science and Engineering

College of Food, Agriculture & Natural
Resource Sciences

College of Education and
Human Development

College of Biological Sciences

College of Design

College of Continuing Education

Twin Cities Professional Schools

U of M Law School

Carlson School of Management

HHH School of Public Affairs

College of Pharmacy

School of Public Health

Medical School

College of Veterinary Medicine

School of Nursing

School of Dentistry

Non-degree Programs

Intercollegiate Athletics

Weisman Art Museum

Global Programs and Strategy Alliance

Institute on the Environment

Raptor Center

U of M Libraries

Landscape Arboretum

Bell Museum

Northrop Concerts and Lectures

Stacking up in the Big 10

	FY13 Endowment (\$ in Millions)
University of Michigan	\$8,382
Northwestern University	\$7,883
Ohio State University	\$3,149
Pennsylvania State University	\$2,957
University of Minnesota and Foundation	\$2,757
Purdue University	\$2,182
University of Wisconsin Foundation	\$2,020
University of Illinois and Foundation	\$1,926
Indiana University and Foundation	\$1,735
Michigan State University and Foundation	\$1,637
University of Nebraska	\$1,339
University of Iowa and Foundation	\$1,095
The University System of Maryland Foundation Inc.	\$867
Rutgers the State University of New Jersey	\$783

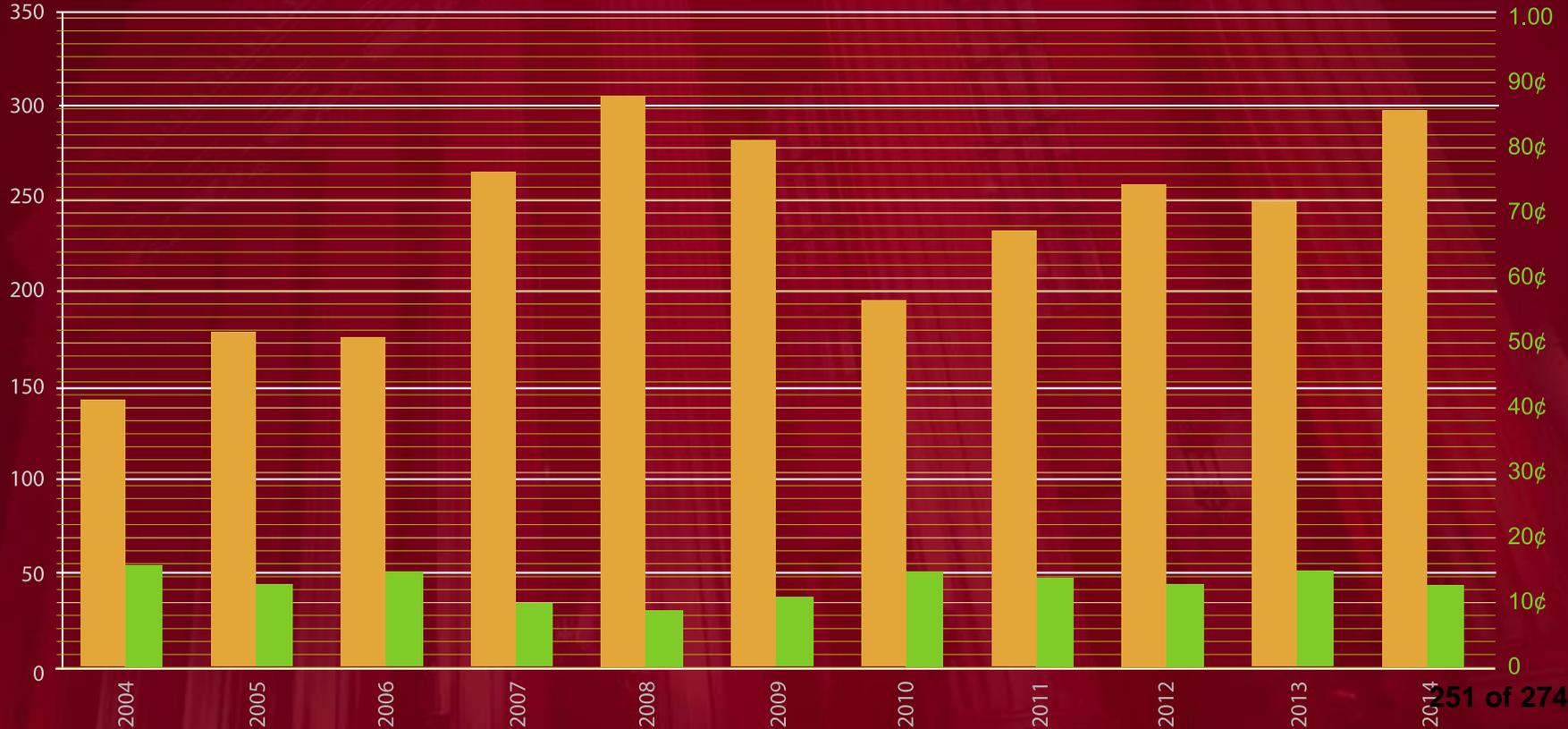
Stacking up in the Big 10



Measuring Effectiveness

Gift Production (\$ Millions)

Cost to Raise a Dollar



A Powerful Performance

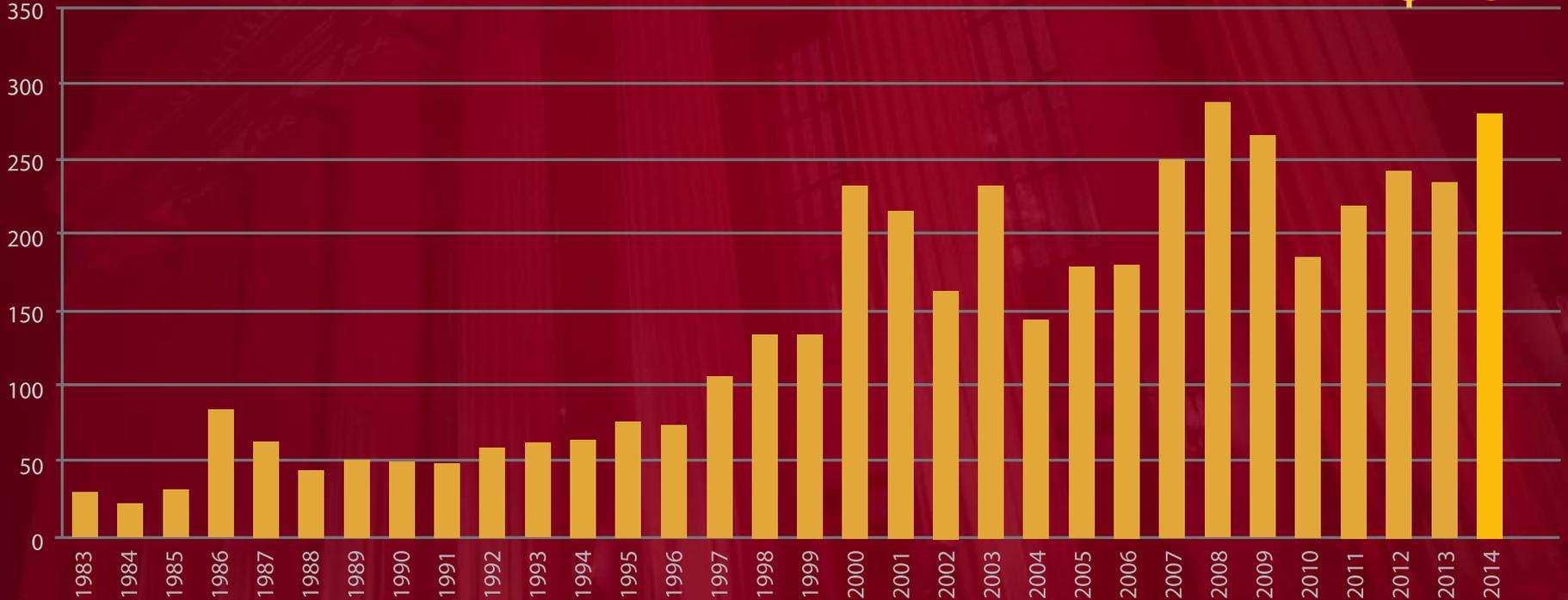
Fiscal Year 2014



Historical Gift Production

\$ Millions

\$282



Fiscal 2014 Success

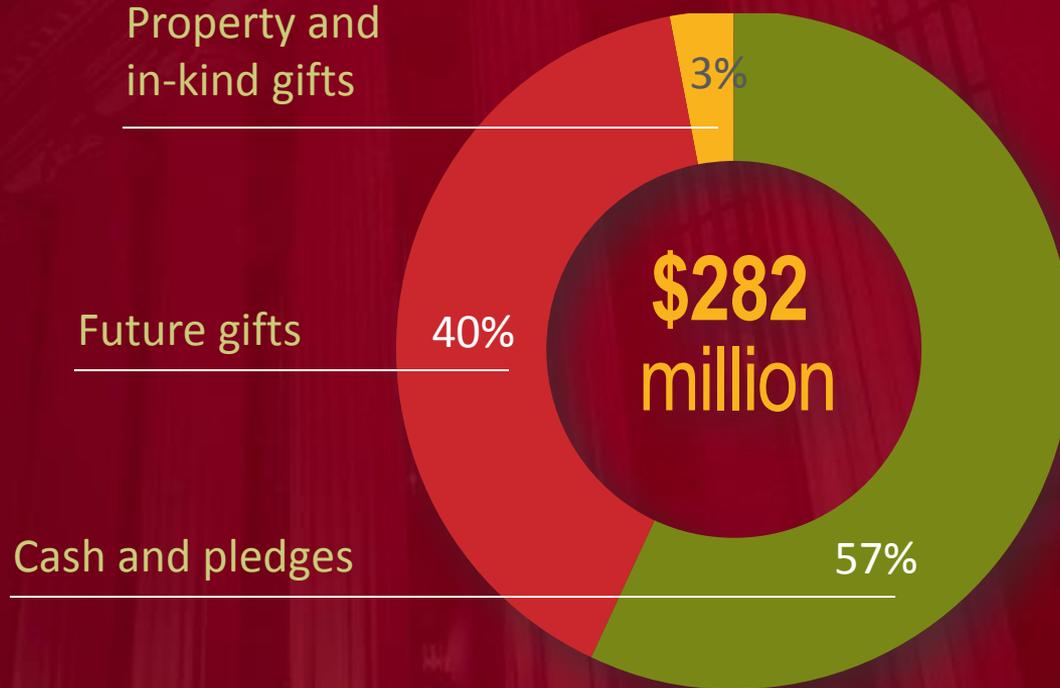
\$282 million in giving

20% increase over FY13

4 gifts of **\$10 million** or more

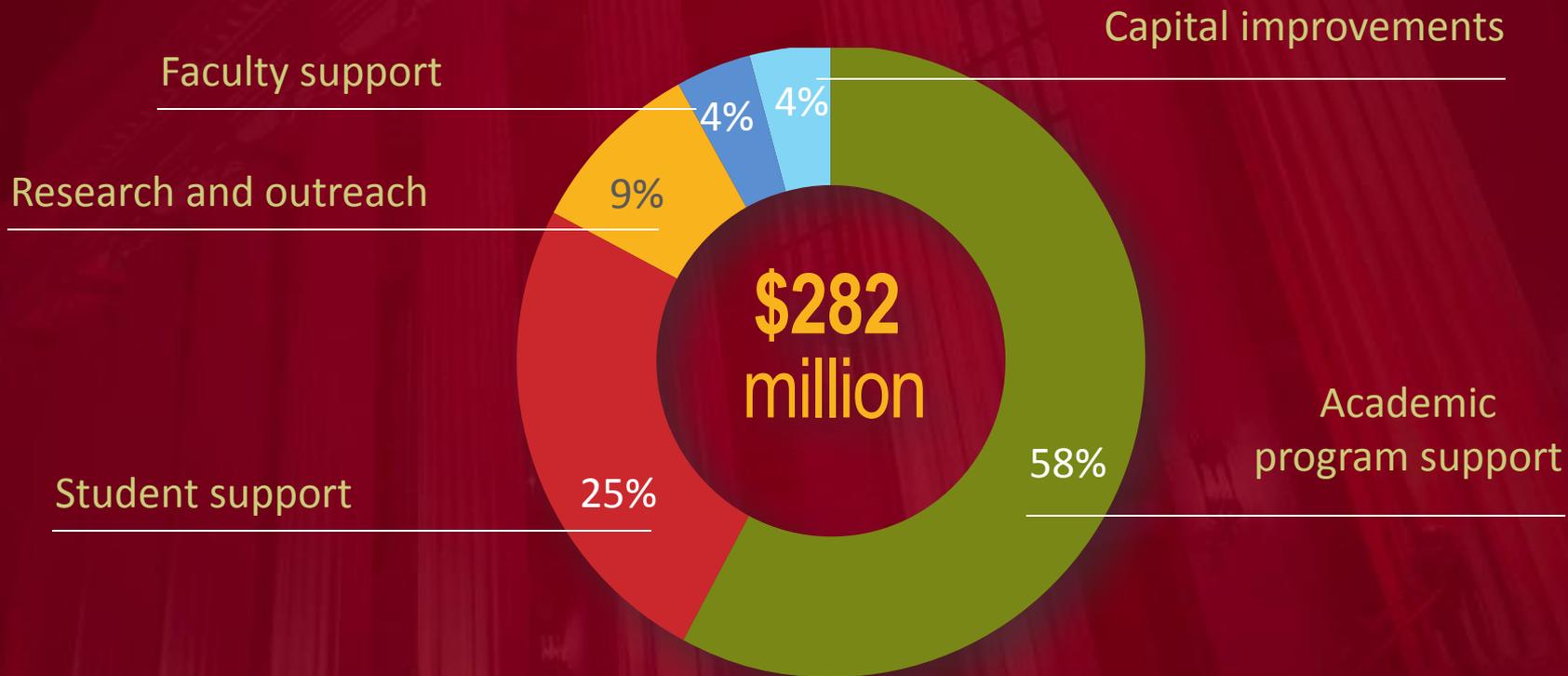
Understanding \$282 Million

TYPES OF 2014 GIFTS



Understanding \$282 Million

PURPOSE OF 2014 GIFTS

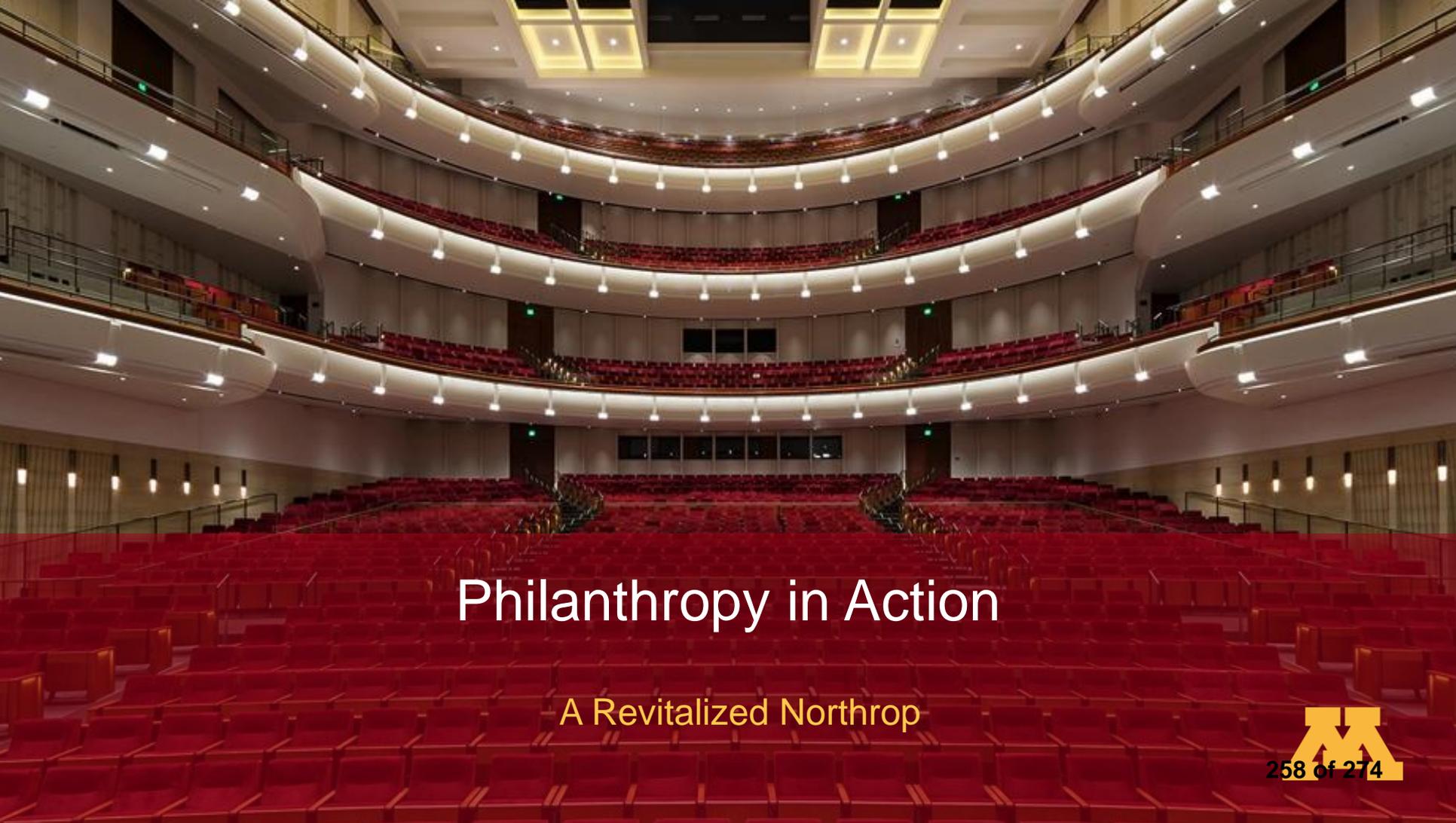


FY 2014 Results

\$282 million in new gifts and commitments

75,558 donors

\$184 million provided directly to the University



Philanthropy in Action

A Revitalized Northrop



Physics and Nanotechnology

New Building, New Discoveries

Support for tomorrow's leaders

Alexmai Addo, '14
University of Minnesota Crookston





Serving those who serve the nation

Tyler Grant
Navy veteran, first-year M.B.A. student
Carlson School of Management

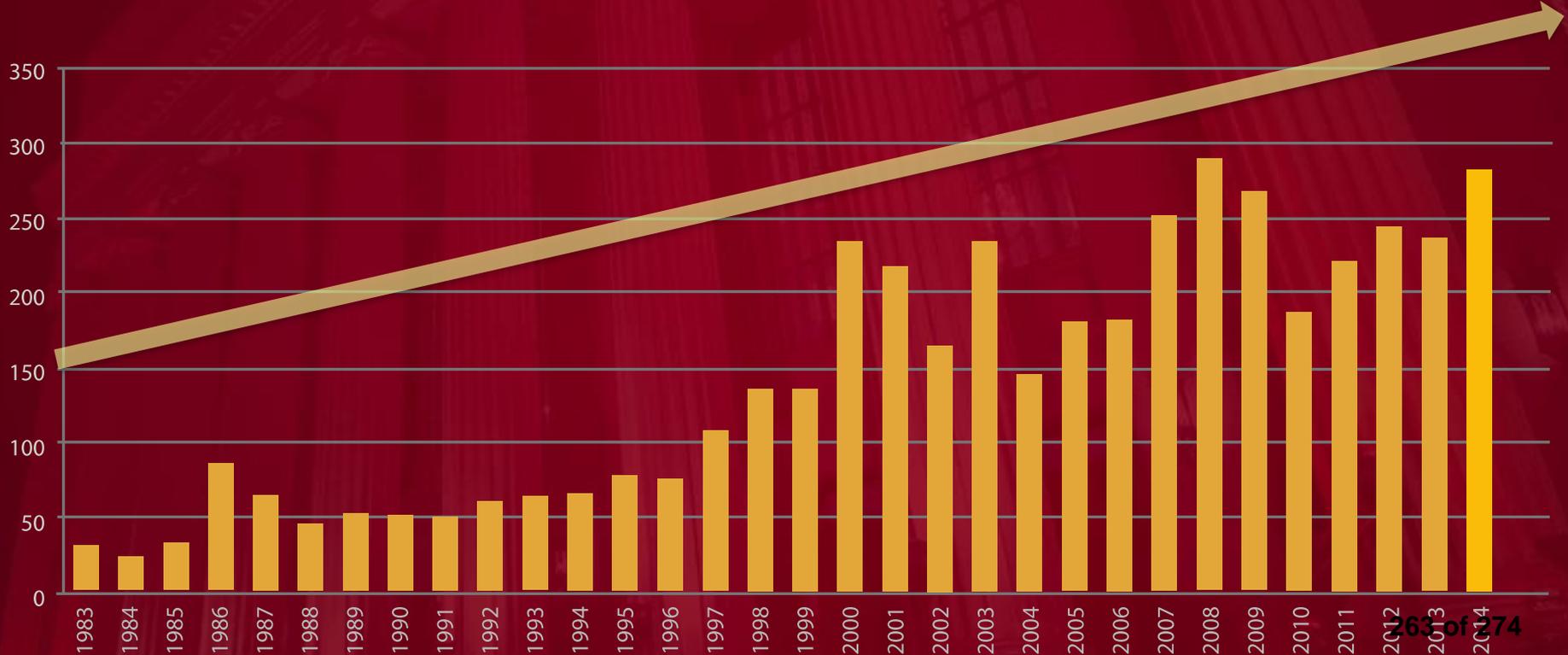
A gift that gives back

Mariah Berner, '18
Buuck Family Scholar



What Lies Ahead?

\$ Millions





+



LAND O'LAKES, INC.

BUILDING THE FUTURE TOGETHER

Thank you!

Kathy Schmidlkofer
President and CEO

Becky Malkerson
Executive Vice President and
Chief Advancement Officer

UNIVERSITY OF MINNESOTA

FOUNDATION



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Board of Regents Policy: *Attorneys and Related Services*

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: William P. Donohue, General Counsel

Purpose & Key Points

The general counsel will review the principal elements of the policy, focusing on the delegation of authority to the general counsel to hire outside counsel. The general counsel is responsible in fact in virtually all cases for appropriate retention of outside legal counsel for the University. Only a minor language change in the policy is recommended.

Background Information

Board of Regents Policy: *Attorneys and Related Services* was first adopted on May 13, 1988 and last amended on July 8, 2009.

The proposed policy amendments were reviewed at the July 9, 2014 meeting of the Board of Regents.



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 1 of 1

Delegation of Authority

ATTORNEYS AND RELATED SERVICES

Adopted: May 13, 1988

Amended: October 13, 1995; March 11, 2005; July 8, 2009

DRAFT for review July 9, 2014

ATTORNEYS AND RELATED SERVICES

Subd. 1. Delegation of Authority. The Board of Regents (Board) of the University of Minnesota (University) delegates to the president and to the general counsel authority to hire attorneys from outside the Office of the General Counsel (OGC) and to enter into related contracts for services in any legal matter involving the University.

Subd. 2. Hiring Factors. The following factors shall be considered in the decision to hire outside attorneys and to contract for related services:

- (a) the existence of insurance coverage for the legal matter;
- (b) special expertise or experience in the subject area;
- (c) actual or perceived conflict of interest;
- (d) the need for additional resources beyond those available in the OGC to handle a particular matter because of its scope or time demands;
- (e) special need for independent counsel or a second opinion; and
- (f) the need for legal services outside the State of Minnesota.

Subd. 3. Exemption from Competitive Bidding. When the University retains outside attorneys ~~on a case-by-case basis, it may do so without competitive bidding~~ it may do so without competitive bidding.

Subd. 4. Report. The general counsel shall report annually to the Board on the activities of the OGC. The Board's Litigation Review Committee may require from the OGC additional reports regarding legal matters.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Board of Regents Policy: *Gifts Received and Given by Regents and University Officials*

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: William P. Donohue, General Counsel

Purpose & Key Points

The general counsel will review the principal elements of the policy, focusing on adding assistant vice provosts to the definition of University Official to make the policy consistent with the *Institutional Conflict of Interest* policy definition of University Official.

Background Information

Board of Regents Policy: *Gifts Received and Given by Regents and University Officials* was first adopted on October 10, 1997 and last amended on March 11, 2005.

The proposed policy amendments were reviewed at the July 9, 2014 meeting of the Board of Regents.



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 1 of 3

Administrative

**GIFTS RECEIVED AND GIVEN BY
REGENTS AND UNIVERSITY
OFFICIALS**

Adopted: October 10, 1997

Amended: March 11, 2005

DRAFT for review July 9, 2014

**GIFTS RECEIVED AND GIVEN
BY REGENTS AND UNIVERSITY OFFICIALS**

This policy regulates gifts received and given by members of the Board of Regents (Board) and University of Minnesota (University) officials. Such regulation is essential in order to ensure that:

- (1) Regents and University officials do not influence inappropriately, or appear to influence inappropriately, decisions by federal, state, and local government officials; and
- (2) Regents and University officials are not influenced inappropriately, or do not appear to be influenced inappropriately, in performing their duties.

This policy is not intended to prohibit Regents or University officials from soliciting gifts on behalf of the University for University purposes.

SECTION I. SCOPE.

Subd. 1. Constitutional Authority. The Board has considered analogous federal and state laws and policies and has concluded that the University should have its own policy governing gifts, consistent with the Board's exclusive constitutional authority to establish rules for the governance and management of the University.

Subd. 2. Application. This policy shall be interpreted and applied with sound practical judgment in a manner that best serves the overall interests of the University, not any individual.

SECTION II. DEFINITIONS.

Subd. 1. Gift. *Gift* shall mean any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, services, training, transportation, lodging, meals, or other item that constitutes a personal benefit to the recipient. It does not include any gift made to the University or its foundations for University purposes.

Gift also shall mean a gift to a family member of a Regent or University official or a gift to any other individual based on that individual's relationship with a Regent or University official (1) if it is given with the knowledge and acquiescence of the Regent or University official and (2) if the Regent or University official has reason to believe the gift was given because of the recipient's University status.

The term *gift* shall not include the following:

- (a) anything for which the individual recipient pays the market value;
- (b) anything the individual receives but returns or gives to the University without substantial personal use or benefit;
- (c) food or refreshments of reasonable value in the normal course of University business;
- (d) plaques, trophies, mementos, hats, or similar items of reasonable value;



UNIVERSITY OF MINNESOTA

BOARD OF REGENTS POLICY

Page 2 of 3

Administrative

GIFTS RECEIVED AND GIVEN BY
REGENTS AND UNIVERSITY
OFFICIALS

Adopted: October 10, 1997

Amended: March 11, 2005

DRAFT for review July 9, 2014

- (e) any gift from a relative, provided that the Regent or University official has no reason to believe that the gift was provided because of the recipient's official University position;
- (f) informational materials in the form of books, articles, other written materials, audio/video media, and other similar materials;
- (g) anything received because a Regent or University official participated in a group, a majority of whose members are not Regents or University officials and who customarily may receive an equivalent item;
- (h) anything paid for or reimbursed by the University pursuant to University policy;
- (i) tickets to University athletic or cultural events;
- (j) local transportation; and
- (k) political contributions to any candidate, political committee, organization, or party as permitted by state and federal law, provided that no such contributions may be made from University funds or resources.

Subd. 2. Financial Interest. *Financial interest* shall mean an actual or foreseeable nontrivial financial benefit resulting from a decision.

Subd. 3. University Official. *University official* shall mean:

- (a) chancellors and vice chancellors;
- (b) deans;
- (c) division I athletic directors;
- (d) general counsel;
- (e) president and president's chief of staff;
- (f) provosts, vice provosts, ~~and~~ associate vice provosts, and assistant vice provosts;
- (g) senior vice president and provost;
- (h) senior vice presidents, vice presidents, associate vice presidents, and assistant vice presidents;
- (i) University directors and campus-wide directors; and
- (j) University employees officially engaged in legislative lobbying on behalf of the University.

SECTION III. GIFTS TO AND FROM REGENTS.

Subd. 1. Government Officials. No Regent shall give a gift or solicit another to give a gift to any federal, state, or local government officials or to any member of their staff.

Subd. 2. Financial or Personal Interests. No Regent shall solicit or accept a gift from any person or organization having a financial or other direct personal interest in a decision before the Board, provided, however, that a Regent may receive food, lodging, or other benefits resulting from the Regent's outside business or employment activities or other outside activities not connected to their duties as a Regent if (a) such food, lodging, or other benefits have not been offered or enhanced because of the Regent's official status and (b) such benefits customarily are provided to others in similar circumstances.



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 3 of 3

Administrative

**GIFTS RECEIVED AND GIVEN BY
REGENTS AND UNIVERSITY
OFFICIALS**

Adopted: October 10, 1997

Amended: March 11, 2005

DRAFT for review July 9, 2014

SECTION IV. GIFTS TO AND FROM UNIVERSITY OFFICIALS.

Subd. 1. Government Officials. No University official shall give a gift or solicit another to give a gift to any federal, state, or local government official or to any member of their staff.

Subd. 2. Financial or Personal Interests. No University official or other University employee authorized to make a decision involving the purchase of goods or services on behalf of the University shall solicit or accept a gift from any person or organization having a financial or other direct personal interest in such decision.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Board of Regents Policy: *Legal Claims and Settlements*

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: William P. Donohue, General Counsel

Purpose & Key Points

The general counsel will review the principal elements of the policy, focusing on a suggested increase in the cap for settlements that must be presented to the Board's Litigation Review Committee from \$250,000 to \$500,000.

Background Information

Board of Regents Policy: *Legal Claims and Settlements* was first adopted on December 14, 1984 and last amended on December 10, 2004.

The proposed policy amendments were reviewed at the July 9, 2014 meeting of the Board of Regents.



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

Page 1 of 1

Delegation of Authority

LEGAL CLAIMS AND SETTLEMENTS

Adopted: December 14, 1984

Amended: January 12, 1990; October 13, 1995;
December 10, 2004

DRAFT for review July 9, 2014

LEGAL CLAIMS AND SETTLEMENTS

Subd. 1. Scope. This policy applies to all legal claims asserted by the Regents of the University of Minnesota (University), legal claims asserted against the University, legal claims asserted against the Board of Regents (Board) as a corporate body or Board members in their official capacity, and legal claims asserted against Board members, employees of the University, and other individuals when the University has agreed to provide legal defense and indemnification to them, consistent with Board and administrative policy.

Subd. 2. Delegation of Authority. Except as provided in subds. 3 and 4, the president is authorized to initiate, appeal, or settle any claim after consultation with the general counsel. The president may delegate such authority, provided that any initiation, appeal, or settlement decision by a delegate of the president must be approved by the general counsel.

Subd. 3. Reservation of Authority. The Board reserves to itself authority to initiate, appeal, or settle a claim involving a specific decision of the Board or a claim against Board members in their individual capacity.

Subd. 4. Board of Regents Litigation Review Committee. Any settlement of a claim involving payment by the University in excess of ~~\$250,000~~ \$500,000 shall be presented to the Litigation Review Committee (LRC) for approval. The president shall determine, in consultation with the general counsel, those other claims that shall be presented to the LRC for review prior to a decision to initiate, appeal, or settle, taking into account whether the claim involves one or more of the following factors:

- (a) a significant change in University-wide policy;
- (b) a serious conflict with University-wide policy;
- (c) an unusually significant financial impact;
- (d) a matter of special public interest; or
- (e) Board members as named defendants in their official capacity.

The LRC is authorized to determine which claims shall be referred to the Board for review or approval.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

October 10, 2014

Agenda Item: Report of the Committees

Review Review + Action Action Discussion

This is a report required by Board policy.

Presenters: Regent Richard Beeson

Purpose & Key Points

Pursuant to Board of Regents Policy: *Board Operations and Agenda Guidelines*, "The Board conducts business through meetings of the Board and its committees.... [and] Committees provide recommendations for action by the Board. Typically, standing committees have the following responsibilities:

- Recommend action on matters where the Board has reserved authority to itself as outlined in Board of Regents Policy: *Reservation and Delegation of Authority* and other Board policies;
- Provide governance oversight on topics within the committee's purview;
- Review and make recommendations on relevant new and existing Board policies;
- Receive reports on policy-related issues affecting University departments and units;
- Receive information items (e.g., status reports on current issues of concern and administrative searches); and
- Review other items placed on the agenda by the Board chair in consultation with the president and Board vice chair."

The Board chair will call on the chair of each committee to present recommended actions and provide a brief report.

Background Information

The 2013-15 committee chairs are:

- Academic & Student Affairs Committee - P. Simmons
- Audit Committee - L. Brod
- Facilities & Operations Committee - C. Allen
- Faculty & Staff Affairs Committee - J. Frobenius
- Finance Committee - D. McMillan
- Litigation Review Committee - D. Larson
- Special Committee on Academic Medicine - L. Cohen