



# Board of Regents

February 2018

February 9, 2018

15 min following adjournment of GOV - 12:00 p.m.

Boardroom, McNamara Alumni Center

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# BOARD OF REGENTS DOCKET ITEM SUMMARY

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Board of Regents

February 9, 2018

**AGENDA ITEM:** Introductions

Review

Review + Action

Action

Discussion

*This is a report required by Board policy.*

**PRESENTERS:** President Eric W. Kaler

## PURPOSE & KEY POINTS

The purpose of this item is to introduce new members of the University's leadership community.

**Jakub Tolar, Dean of the Medical School and Interim Vice President for Health Sciences,** oversees the University of Minnesota Academic Health Center. He is also a Distinguished McKnight Professor in the Department of Pediatrics, Blood and Marrow Transplantation; Director of the Stem Cell Institute; and the Edmund Wallace Tulloch & Anna Marie Tulloch Chair in Stem Cell Biology, Genetics & Genomics. Tolar is a member of the graduate faculty of the Microbiology, Immunology and Cancer Biology Program, the Molecular, Cellular, and Developmental Biology and Genetics Program, and the Stem Cell Biology Program.

Originally from the Czech Republic, Tolar received his medical education in Prague at the Charles University. In 1992, he came to the University of Minnesota, where he completed his Ph.D. in Molecular, Cellular & Developmental Biology and Genetics. Tolar has a clinical practice through the University of Minnesota Masonic Children's Hospital, and his interests include educating and mentoring new physicians. He is active in many professional societies, and is a strong advocate for cooperation and communication within the clinical and research communities.

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Mission Fulfillment Committee  
December 14, 2017**

A meeting of the Mission Fulfillment Committee of the Board of Regents was held on Thursday, December 14, 2017, at 7:45 a.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Abdul Omari, presiding; Thomas Anderson, Richard Beeson, Linda Cohen, Michael Hsu, Dean Johnson, Peggy Lucas, David McMillan, Ken Powell, Darrin Rosha, and Steve Sviggum. Patricia Simmons participated by phone.

Staff present: President Eric Kaler; Chancellors Michelle Behr and Lendley Black; Interim Chancellor Lori Carrell; Executive Vice President and Provost Karen Hanson; Senior Vice President Brian Burnett; Vice Presidents Bernard Gulachek, Allen Levine, and Matt Kramer; General Counsel Douglas Peterson; and Executive Director Brian Steeves.

Student Representatives present: Marta Dean and Alexandra Ulland.

**DIVERSITY IN TWIN CITIES CAMPUS UNDERGRADUATE ENROLLMENT**

Regent Omari invited Provost Hanson; Robert McMaster, Vice Provost and Dean of Undergraduate Education; and Sean Garrick, Associate Vice Provost, Office for Equity and Diversity, to discuss diversity in Twin Cities campus undergraduate enrollment, as detailed in the docket.

Hanson reminded the committee that the Board had engaged in several conversations throughout the past year on this topic, adding that those conversations led to development of a resolution put forth by the administration. McMaster provided an overview of system-wide enrollment data for students of color and American Indian students and explained that there has been growth in the number of students from underrepresented populations. He highlighted the University's recruitment initiatives and retention efforts for students of color and American Indian students. As an example of these efforts, Garrick reported on the work of the North Star STEM Alliance, an NSF-funded program in which the University participates collaboratively with other colleges and community organizations in order to increase the number of students of color receiving degrees in STEM fields.

McMaster explained that data from admissions applications drives the programming for prospective and current students and reported that the University's application for admission now includes more detailed questions about race and ethnicity. He reported that the Coalition Application and the Common Application, both utilized by students applying to the University, do not collect information at the same level of detail. McMaster reported on the retention rate and four- and six-year graduation rates by race/ethnicity and provided an overview of responses to campus climate-related questions asked in the Student Experience in the Research University (SERU) survey.

McMaster referred committee members to the resolution. Kaler explained that the resolution will ensure that the University continues to serve communities across the state and values equity and diversity.

Omari explained that the draft resolution was consulted with the Office of General Counsel and also thanked the student representatives for emphasizing disaggregation of student demographic data in their most recent report to the Board. He reminded the committee that the focus of the resolution is the Twin Cities campus because it responds to the Twin Cities campus 5-year enrollment plan.

Regent Simmons remarked on the positive progress in recruitment and retention of students of color and asked about the necessity of a resolution focused on the Twin Cities campus. Kaler explained that the resolution reinforces the University's commitment to underserved populations, especially in the Twin Cities, where the largest number of the state's high school population lives. Hanson emphasized that the resolution is not meant to exclude system campuses, but responds to previous conversations about the Twin Cities campus. McMaster explained the importance of the resolution's goals to guide the administration in increasing graduation rates and closing the achievement gap.

In response to questions from Regent Hsu, McMaster agreed that the resolution does not address diversity at the college level and acknowledged variance across the colleges in both efforts and results in attracting and retaining students of color. He explained that specific metrics for the colleges are difficult to formulate but noted the resolution's campus-wide goals offer a starting point to address the issues. Hanson added that the number of freshman-admitting colleges also makes it difficult to establish college-level goals because many external factors affect what major or college a student chooses at the time of admission.

Regent Powell expressed his appreciation for the data and the progress toward increasing retention and graduation rates for students of color. He noted there is still opportunity for improvement. In response to questions from Powell, McMaster expressed disappointment in the decline in the four-year graduation rate for African-American students, noting that the University will look at reasons for that decline. Garrick added that there may be differences in graduation rates across colleges. Omari urged the presenters to examine where students came from in order to understand whether geography plays a role in student success.

Regent Beeson commented that the resolution's goals may be unrealistic. He suggested adding an achievement gap metric to the University Progress Card. He urged the administration to employ a business sales approach to recruit students from Minneapolis and St. Paul public schools, and remarked on the success of similar strategies in recruiting students from non-reciprocity states. Omari agreed that the achievement gap metric could be considered for the progress card.

In response to a question from Regent Sviggum, McMaster reported that the University defines diversity broadly, including both geographic and gender diversity in addition to racial and ethnic diversity.

Sviggum asked whether higher graduation rates are a better measure than closing the gap between the overall rates and those of students of color. McMaster noted limits on graduation rates and added that the University is already achieving goals set for an overall graduation rate. He explained that looking at the gap is more meaningful and although it is ambitious, it is achievable.

Regent Rosha argued that the competitive admissions process at the Twin Cities campus may create enrollment and success barriers for some students. He expressed concern about differences across the colleges regarding diversity in enrollment, retention, and graduation rates for students of color and Native American students. Rosha stressed the importance of disaggregated demographic data, citing the difference in experience of recent immigrants, students from different socioeconomic backgrounds, and urban versus rural students.

In response to questions from Student Representative Ulland, McMaster explained that most of the diversity on the Twin Cities campus is shaped by Minnesota resident students and that diversity is attentive to the diversity in the state's population.

In response to questions from Regent Johnson, McMaster reported that financial aid and scholarships are among the top reasons admitted students choose not to attend. He added the University cannot compete with the scholarships students receive to attend other institutions, especially private colleges.

## **21<sup>ST</sup> CENTURY OUTREACH MISSION, PART II: STATEWIDE PUBLIC ENGAGEMENT**

Regent Omari invited Provost Hanson and Andrew Furco, Associate Vice President for Public Engagement, to discuss statewide public engagement, as detailed in the docket.

Hanson introduced the item, explaining that outreach and public engagement are core to the University's land-grant mission to share knowledge with the public. She noted that outreach and engagement are integrated into the research and teaching missions of the University and are vital for the state and other stakeholders.

Furco reported that academic units that primarily function as teaching and research units typically have elements of outreach that may be overshadowed by other work. He added that all five campuses are working to elevate service and outreach and that students, faculty, and staff are making outreach a central component of their work.

Furco introduced three speakers to share examples of how they integrate public engagement in their teaching and research:

- Sheila Riggs, Associate Professor and Chair, Department of Primary Dental Care, School of Dentistry
- Joe Polacek, Student, Master of Urban Planning, Humphrey School of Public Affairs and Research Assistant, Center for Sustainable Building Research, College of Design
- Kevin Linderman, Curtis L. Carlson Professor, Supply Chain and Operations, Carlson School of Management

Regent Simmons thanked the presenters, noting the importance of outreach to the three-part mission and adding that outreach is often difficult measure. Omari agreed, offering that the work has great impact regardless of direct metrics.

In response to questions from Regent Lucas, Riggs noted a need for more dentists across greater Minnesota. She added that more students are interested in practicing in those areas after participating in the Outreach Experience Course, which places senior dental students in one of 11 affiliate sites for a 10-week practicum serving underserved populations.

Regent McMillan asked about the possibility of placing more graduates of the Dental School in greater Minnesota. He cited the Pharmacy School and Medical School as examples of success and asked if those programs could serve as models. Riggs suggested that a policy solution is needed, and noted that her college has partnered with Government Relations to begin to address the issue. She added that loan forgiveness provides additional encouragement for graduates to commit to practicing in greater Minnesota.

Regent Anderson remarked on the importance of the University's outreach and service to communities in greater Minnesota, and emphasized the need to share more stories of those activities.

In response to questions from Regent Powell, Furco explained that the University is working to collect metrics to quantify the impact of the outreach mission and to better understand the economics of outreach work. He noted that decentralized outreach across colleges and departments means there is no single site recording data and analyzing impact.

Regent Cohen shared that she has seen great movement in the intertwining of the three-part mission over her time on the Board. She emphasized the importance of all three parts being equal. Cohen asked about the future of outreach. Furco reported on the changing dynamics of research funding and that federal agencies are beginning to require that grant proposals include external partners and a demonstration of outreach and service.

### **ANNUAL REPORT ON THE STATUS OF UNIVERSITY RESEARCH & COMMERCIALIZATION OF INTELLECTUAL PROPERTY**

Regent Omari invited Vice President for Research Allen Levine to report on the status of university research and commercialization of intellectual property, as detailed in the docket.

Levine provided an overview of funding awarded to the University in the past year, which was down 5.5 percent from the previous year. He reported that the University ranked third among Big Ten institutions in new award funding.

Levine summarized the success of technology commercialization, highlighting a record 18 start-ups over the past year, bringing the total number of start-ups launched to 119 since 2006. He noted that the start-ups represent a wide range of industries and have attracted \$400 million in outside investment to the University. Levine reported on other key initiatives, including MnDRIVE, engagement with the business community, human research protection, and the work of the system-wide strategic plan.

Regent Beeson emphasized the importance of increasing research awards in the Medical School to increase the Medical School and the University's overall rankings. He encouraged Levine to work in close collaboration with Medical School leadership. Levine confirmed such collaboration and noted they are looking at peer institutions and strategizing to improve funding levels and rankings.

In response to questions from Regent Powell, Levine explained that it is important for the University to identify interdisciplinary groups of faculty – like those involved in Grand Challenges research – who are ready to engage when large grants become available. He stressed the importance of being well connected to funding agencies in order to be aware of future grant proposals. Levine remarked on the success of partnership with the business community and explained that those relationships must benefit both the firm and the University to be successful.

In response to a question from Regent McMillan, Levine explained that basic scientific research often yields applied research. He added that federal funding applications for basic research ask how it can become applied and that investigators seek ways to apply their research for commercialization purposes. Responding to an additional question from McMillan, Kaler noted that Jakub Tolar holds an interim appointment as vice president for health sciences and that the alignment of research and academic health is being reviewed.

In response to questions from Regent Hsu, Levine reported that other medical schools have more faculty who conduct research in areas that NIH and NSF are investing, which results in peers and competitors being awarded more funding overall. Levine also explained that Wisconsin has access to more foundation funding, but that their trend line is not predicted to increase significantly like Michigan's has.

Anderson remarked on the importance of ideas generating start-ups that lead to jobs for Minnesotans and encouraged aspirational goals in this area.

**SYSTEM-WIDE ENROLMENT PLANNING:  
MORRIS CAMPUS**

Regent Omari invited Michelle Behr, Chancellor of the University of Minnesota Morris (UMM), to discuss enrollment planning for the campus, as detailed in the docket.

Behr noted that UMM has a unique role in the system, serving students from underserved populations and providing access to an undergraduate experience more similar to that of a private liberal arts college. She reviewed historical and current enrollment data and trends and highlighted the campus's recruitment and retention strategies and associated goals. Behr explained that a strategic visioning and planning process is underway, and that future enrollment is included in that process. She summarized the three recommendations of the System-wide Enrollment Management Plan and described UMM's priorities going forward.

Regent Johnson asked about UMM's connections to the local business community or Chamber of Commerce. He noted that Morris does not seem to fully appreciate having the University in the community the way Duluth, Crookston, and Rochester do. Behr explained that she has been working to build relationships with the community, businesses, and the Chamber of Commerce.

Regent Beeson encouraged Behr to consider bold recruitment efforts to try to increase enrollment. He urged the administration to consider system-wide messaging and applications to yield more enrollment at system campuses. Omari agreed, adding that synergies between the Twin Cities and system campuses admissions offices are crucial.

Regent Sviggum expressed concern over the median ACT score and asked if students are being admitted who may not be successful. Behr explained that admissions staff works to admit only those students who will be successful. She added that enrollment challenges have made it difficult to increase the median ACT score.

In response to questions from Regent Anderson, Kaler acknowledged that the Native American tuition waiver program creates budget constraints at UMM and noted the University should seek to address the program at the federal level. Behr added that the number of students accessing the program is growing, which is a testament to the program's success in creating access.

In response to questions from Regent Hsu, Behr reported that defining total capacity is difficult and that the number of the students the campus can house may not be a sustainable solution. She noted that UMM is committed to a holistic review in admissions and shared her uncertainty about moving to a test-optional policy.

Regent Rosha noted the decline in average UMM ACT scores since the 1990s, when they were more comparable to small private schools. He noted that as the undergraduate population at the Twin Cities campus has grown, the population of the Morris campus has fallen. Rosha encouraged the administration to create a specific bold plan to address UMM enrollment.

**CONSENT REPORT**

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

- **Request for Approval of New Academic Programs**
  - Swenson College of Science and Engineering (Duluth campus) – Create undergraduate minor in Statistics
- **Request for Approval of Changed Academic Programs**
  - College of Education and Human Development (Twin Cities campus) – Deliver the postbaccalaureate certificate in Infant and Early Childhood Mental Health online
  - College of Design (Twin Cities campus) – Discontinue sub-plans in Landscape Planning and Landscape Design within the B.E.D. degree in Landscape Design and Planning
- **Request for Conferral of Tenure for Outside Hires**
  - Joel Farley, Professor with tenure, Pharmaceutical Care and Health Systems, College of Pharmacy (Twin Cities campus)
  - Helen Kinsella, Associate professor with tenure, Political Science, College of Liberal Arts (Twin Cities campus)
  - Robert Palumbo, Professor with tenure, Mechanical and Industrial Engineering, Swenson College of Science and Engineering (Duluth campus)
- **Request for Conferral of Tenure for Internal Hires**
  - Laura Bloomberg, Professor with tenure, Humphrey School of Public Affairs (Twin Cities campus)

**INFORMATION ITEMS**

Provost Hanson referred the committee to the information items in the docket, which included:

- Report of University Activities and Awards
- Twin Cities Campus Liberal Education Redesign Update
- Student-Athlete Code of Conduct

The meeting adjourned at 11:53 a.m.



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

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Audit & Compliance Committee  
December 14, 2017**

A meeting of the Audit & Compliance Committee of the Board of Regents was held on Thursday, December 14, 2017, at 11:00 a.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Linda Cohen, presiding; Michael Hsu, Peggy Lucas, David McMillan, and Ken Powell.

Staff present: President Eric Kaler; Chancellors Michelle Behr and Lendley Black; Executive Vice President and Provost Karen Hanson; Senior Vice President Brian Burnett; Vice Presidents Michael Berthelsen, Bernard Gulachek, and Allen Levine; Executive Director Brian Steeves; Associate Vice President Michael Volna; and Chief Auditor Gail Klatt.

Student Representatives present: Lauren Anderson and Apoorva Malarvannan.

**UPDATE ON TWIN CITIES UNDERGRADUATE ADMISSIONS AUDIT FINDINGS**

Regent Cohen invited Gail Klatt, Chief Auditor; Karen Hanson, Executive Vice President and Provost; and Robert McMaster, Vice Provost and Dean of Undergraduate Education, to present an update on the Twin Cities Undergraduate Admissions audit findings, as detailed in the docket.

Klatt reminded the committee that the item responds to questions and concerns stemming from the Twin Cities Undergraduate Admissions audit report issued in October 2017. McMaster reviewed the Admissions Office and its scope of work. He explained that the Admissions Office has handled an increasing number of inquiries over the past three years, but that resources and staffing levels have remained relatively flat.

McMaster referenced the primary recommendations outlined in the audit report. He summarized progress made in those four areas, including improvements in documentation of admissions decisions, accuracy and integrity of student application data, and a review of the cost-effectiveness of application fee waivers. McMaster reported that the Office of Undergraduate Education has requested funding through the budget process to purchase and implement a new software platform for the Office of Admissions that will replace multiple systems, which will streamline the application process and address several audit recommendations.

Cohen reminded the committee that the audit was completed on the fall 2016 incoming class, while applications for fall 2017 were already being reviewed and the Office of Admissions had already begun to implement changes to address audit findings. She expressed her appreciation to the Office of Admissions for its success in bringing a fall 2017 class with an exceptional academic profile and diversity.

Regent McMillan expressed his appreciation to the President and Provost for their leadership and attention to this audit. In response to questions from McMillan, McMaster explained that the recent Enterprise System Upgrade Project did not address admissions and enrollment

management solutions. He explained that IT investment is necessary to address the audit recommendations and the best solution is to implement a new system.

In response to a question from Regent Lucas, McMaster explained that there is no real limit to the number of application fee waivers the Office of Admissions can offer. Hanson added that the waivers are not funded, but simply foregone revenue for the department.

Regent Hsu observed that only 10 applications were tested for decision accuracy, noting the small sample size relative to the total number of applications. He added that of those 10 applications, two were found to have been admitted in error. He asked about additional testing to determine if the error rate is 20 percent or if the small sample size skewed the outcome. Hanson explained that the auditors selected the sample size and that additional testing could be done to determine the error rate.

In response to questions from Hsu, McMaster explained that in some instances of holistic review, a strong secondary factor can overcome a deficiency in a primary factor and lead to a student being admitted, but that fit is also a primary consideration. Hanson added that for example, a student who is deficient in a primary factor but has exceptional talent in music might be considered for a music major but not for a major in the College of Science and Engineering. She added that the admissions staff work to admit students who show potential for success at the University. Hsu remarked that the explanation does not clarify how two applications can be compared to one another.

### **INSTITUTIONAL RISK PROFILE, PART III: REVIEW DRAFT PROFILE**

Regent Cohen invited Karen Hanson, Executive Vice President and Provost, and Brian Burnett, Senior Vice President, to present the draft institutional risk profile, as detailed in the docket.

Hanson introduced the item and reported that the draft institutional risk profile was developed with President Kaler and members of his cabinet over the past three months. She explained that the profile identifies 20 risks and categorizes them into three areas: business challenges, compliance, and institutional integrity. The profile also identifies risks as short-term or ongoing.

Burnett reviewed the process for developing the risk profile, which included a half-day retreat and weekly meetings with members of the president's cabinet. Hanson and Burnett each shared two examples of risks from the profile and explained them in more detail.

Regent Powell thanked the presenters for their thoughtful work. He suggested they identify a small number of top risks facing the University, or those that are most difficult to mitigate. Kaler agreed, explaining that the administration will now begin to examine each risk more closely and lay out mitigation plans. Burnett added that the top risks will also evolve over time.

### **COMPLIANCE INITIATIVES**

Regent Cohen invited Boyd Kumher, Chief Compliance Officer, to present an update on compliance initiatives, as detailed in the docket.

Kumher described the Institutional Compliance Office's new procedures for conducting investigations of circumstances reported to UReport, the University's tool for faculty, staff, and students to anonymously report activities that may be a violation of University policy, or other laws, rules and regulations. He reported on the progress of instituting a new assessment process for compliance risk.

Kumher referred the committee to additional reports that appear as information items in the docket, including the Chief Compliance Officer's required semi-annual report and the institutional conflict of interest report.

### **EXTERNAL AUDITOR REPORT**

Regent Cohen invited Suzanne Paulson, Assistant Controller; Katie Knudtson, Partner, Deloitte & Touche LLP; and Judy Dockendorf, Managing Director, Deloitte & Touche LLP (Deloitte), to present the external auditor's opinion on the University's fiscal year 2017 financial statements and report on other audit services, as detailed in the docket.

Knudtson reported that Deloitte issued an unqualified opinion for the 2017 audit of University financial statements. She explained the audit scope and provided an overview of its major financial elements, noting that the balance sheet, net position, and cash flow were stable year over year. Knudtson shared that the amount of alternative investments presents the greatest risk to the University and explained that alternative investments are not uncommon in higher education. She reminded the committee of the pension liability risk that has already been addressed by the University and the state.

Dockendorf summarized the other audit services provided by Deloitte in 2017. Knudtson reported that there were no findings in the Twin Cities campus NCAA agreed-upon procedures in the 2017 audit.

Regent Powell inquired about the two top risks facing the University. Knudtson named management override of control and alternative investments. She explained that across her portfolio, instances of management override are rare, but the risk still exists. She added that alternative investments are difficult to value, and therefore pose risk to the University's financial standing.

In response to a question from Powell, Dockendorf explained that Deloitte is not required to report non-compliance to federal funding agencies, but that the noncompliance and action are included in their report.

In response to questions from Regent McMillan, Dockendorf explained that the procedures completed for the Minnesota Office of Higher Education include review of a sample of student files that receive a Minnesota state grant. She reported that approximately 90 student files on each campus are selected for the testing each year and that the sample size is identified by the Minnesota Office of Higher Education.

### **UPDATE ON SMALL BUSINESS PROCURMENT COMPLIANCE WITH STATE STATUTE**

Regent Cohen invited Suzanne Paulson, Assistant Controller, to provide an update on the University's small business procurement compliance with state statute, as detailed in the docket.

Paulson explained that since the committee's December 2016 meeting, where they last discussed this topic, the University developed a plan and established goals to reach compliance with the statute. She reported that the University continues to have regular conversations with the state's chief procurement officer to monitor and measure progress toward those goals.

In response to a question from Regent Lucas, Paulson explained that the University's goal for contracting for construction with small businesses is 2 percent. She added that large

construction projects often include a higher goal but that those small businesses subcontract with the larger contractor, not directly with the University.

Regent Powell noted that 60 percent of the University's goods and services expenditures are spent in the state. He asked if that has been stable over time. Cohen invited Tim Bray, Director of Purchasing Services, to respond. Bray reported that the metric has been relatively stable.

In response to questions from Regent Hsu, Paulson confirmed that the University is not currently complying with the state statute but is actively monitoring progress toward compliance. She added that the University is unaware of any penalty for non-compliance.

### **INFORMATION ITEMS**

Chief Auditor Klatt referred the committee to information items contained in the docket materials, which include:

- Semi-Annual Controller's Report.
- Semi-Annual Chief Compliance Officer Report.
- Institutional Conflict of Interest Report.

The meeting adjourned at 12:36 p.m.



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

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Litigation Review Committee  
December 14, 2017**

A meeting of the Litigation Review Committee of the Board of Regents was held on Thursday, December 14, 2017 at 11:00 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Richard Beeson, presiding; Thomas Anderson, Dean Johnson, Darrin Roshia, and Steven Sviggum. Patricia Simmons participated by phone.

Staff present: President Eric Kaler; Vice President Matt Kramer; General Counsel Douglas Peterson; and Executive Director Brian Steeves.

Others present: Sarah Dirksen, Carrie Ryan Gallia, Tim Pramas, Brian Slovt, Jon Steadland, and Julie Tonneson.

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

The meeting convened in public session at 11:04 a.m. A motion was made and seconded that the following resolution be adopted:

WHEREAS, based on advice of the General Counsel, the Board of Regents 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, December 14, 2017 at 11:00 a.m. in the East Committee Room, 600 McNamara Alumni Center, for the purpose of discussing attorney-client privileged matters including the following:

- I. CUHCC Arbitration / *University of Minnesota v. State of Minnesota*
- II. *Stacy Ingraham v. University of Minnesota*
- III. *University of Minnesota v. Doran University III, LLC*
- IV. Potential litigation regarding student fee process
- V. *Shannon Miller, Jen Ranford and Annette Wiles v. The Board of Regents of the University of Minnesota*

The committee voted unanimously to adopt the resolution and the public portion of the meeting ended at 11:06 a.m.

The meeting adjourned at 12:27 p.m.

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

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

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Finance & Operations Committee  
December 14, 2017**

A meeting of the Finance & Operations Committee of the Board of Regents was held on Thursday, December 14, 2017 at 1:30 p.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Thomas Anderson, presiding; Richard Beeson, Linda Cohen, Michael Hsu, Dean Johnson, Peggy Lucas, David McMillan, Kendall Powell, Darrin Rosha, and Steve Sviggum.

Staff present: President Eric Kaler; Chancellors Michelle Behr, Lendley Black, and Mary Holz-Clause; Interim Chancellor Lori Carrell; Executive Vice President and Provost Karen Hanson; Senior Vice President Brian Burnett; Vice Presidents Michael Berthelsen, Kathryn Brown, Bernard Gulachek, and Matt Kramer; General Counsel Douglas Peterson; Executive Director Brian Steeves; and Associate Vice Presidents Julie Tonneson and Michael Volna.

Student Representatives present: Sean Chen and Mina Kian.

**ADMINISTRATIVE COST DEFINITION AND BENCHMARKING**

Regent Anderson invited Senior Vice President Burnett and Associate Vice President Tonneson to discuss the administrative cost definition and benchmarking analysis, as detailed in the docket.

Tonneson reiterated the original goals for the analysis and the three main categories used in it – direct mission delivery including student aid; mission support and facilities; and leadership and oversight – and examples of the specific positions included in each for FY 2017.

Tonneson presented the results of the analysis, indicating that the percentage of total spending across the three areas was stable from FY 2015 to FY 2017. She noted the major areas of spending and the limited shifts in spending year to year given the size of the University's budget. She summarized other major trends observed over the three years of the analysis.

Regent Powell asked whether the analysis can be compared to peer institutions and used to support productivity. Tonneson responded that other Big Ten institutions do not use this analysis, but that she and Burnett continue working with their peers to increase interest. She stated that University units and departments are using the analysis and the terminology to evaluate and plan budgets. She cautioned that the different mission focus of units makes it difficult to compare them.

Regent Beeson commented that the analysis adds clarity and certainty that the University is becoming less top-heavy. He encouraged the administration to think about what else could be done with the analysis, suggesting that additional data could be shared to identify and examine why units are outliers. He stressed the need to look at compliance costs and understand the true cost of compliance to the University.

In response to questions from Regent Hsu, Tonneson explained that the analysis does not establish the number of employees in each of the categories since the analysis itself is expenditure-based over a fiscal year. She speculated that to arrive at a headcount using this

analysis, a specific point in time would have to be selected and compared to the yearlong expenditures.

Student Representative Chen asked how different roles were selected for various categories. Tonneson responded that the name of each job code and a short description was considered. She explained that in situations where a job could be in either mission or mission support, the determination looked at whether it was in research, instruction, or public service versus providing a support function for those areas. She noted that for some positions, a case could be made for either option.

**FY 2019 MAJOR BUDGET LEVERS AND RESOLUTION RELATED TO FY 2019  
TWIN CITIES UNDERGRADUATE NONRESIDENT/NON-RECIPROCITY TUITION RATE**

Regent Anderson invited Senior Vice President Burnett, Vice President Brown, and Associate Vice President Tonneson to discuss the FY 2019 major budget levers and present for action the resolution related to FY 2019 Twin Cities non-resident, non-reciprocity (NRNR) undergraduate tuition rate, as detailed in the docket.

Tonneson described the revenue focus for the budget framework and defined the major revenue sources for the University. She noted those revenue sources are supplemented by internal reallocations made by units. She described how the budget framework relies on state appropriations and internal reallocations made by units. Tonneson conveyed how much additional revenue a one percent increase in tuition would generate for undergraduate, graduate, and professional students across the system, for both resident and NRNR students.

Tonneson presented the president's recommended NRNR tuition increase for the Twin Cities campus. She reported the recommendation now includes instituting a 5.5 percent rate increase cap for NRNR students after their first year. She stressed that all incoming students would still see the proposed 15 percent increase.

Tonneson discussed University expenditures and compared them through the object view versus the function view. She described how faculty compensation would be viewed simply as a salary from the object view, but could be viewed as a faculty recruitment expense when viewed as a function. She suggested that the impact of long-term changes and strategies are not often seen in an annual budget, but rather play out over multiple years.

Brown described how compensation is a part of the employee value proposition. She reported on the number of employees by job family and described the process for setting compensation pools. She told the committee about the merit process used to distribute the compensation pool. She noted that more work will be done to generate more market data specificity around compensation.

Tonneson presented the other significant costs and investments that impact the budget framework, noting examples of these costs by category. She explained that the framework built in costs for facilities and operations, but also funding for strategic choices that drive new initiatives.

A motion was made and seconded to recommend approval of the resolution related to FY 2019 Twin Cities non-resident, non-reciprocity undergraduate tuition rate.

Regent Lucas remarked that when the Board approved a resolution in March 2016 to move NRNR tuition to the midpoint of the Big Ten, it acted to do so incrementally and with an evaluation of how those rates affect the recruitment of NRNR students. She noted that 46 percent of NRNR students come from a single state – Illinois. She acknowledged that while it is still early in the recruiting process, more would need to be done to ensure strong recruitment.

She cautioned that even with additional funding for recruitment, the University may still see a decrease in NRNR students. She emphasized what she views as the large role higher NRNR student enrollment has played in keeping tuition lower for all students over the past 10 years. She noted that she does not support the resolution.

Regent Cohen stressed the need for the University to increase its diversity in a variety of ways, including geographic diversity through national and international students. She expressed her desire that the University gain national prominence, and emphasized that attracting NRNR students supports the University's commitment for excellence. Cohen conveyed her concern that NRNR students would not see the potential discounted rate until after they applied, potentially discouraging them from applying in the first place. She agreed that an increase is needed, but proposed a 10 percent increase as an alternative. Cohen stated she would vote against the 15 percent increase.

Student Representative Kian offered her agreement with Cohen and Lucas. She suggested that tuition is already unaffordable and creating significant struggles for students. She cautioned that the increase will be paid through additional loans, which affects employment options for students after graduation. She advocated for a 10 percent increase as a compromise.

Regent Beeson expressed his appreciation for data around the NRNR market and how increases have affected NRNR student recruitment. He considered that even after waivers and tuition discounting, the increases have yielded funding for Minnesota students. He stressed the need to invest in additional recruiting and marketing efforts, including trying new approaches and the addition of new initiatives like a call center. He argued that any funding used for recruiters will create a significant return on investment. He noted that the Board can always adjust the NRNR tuition increase if recruitment rates start to decline.

Regent Johnson asked about the percentage increase needed for a five-year goal of moving to the midpoint of the Big Ten versus two years. Burnett responded that it is difficult to predict since there is no way to know how much other institutions will move their NRNR tuition rates. He speculated that on average, peers have increased tuition by 3-5 percent annually, which would require the University to increase NRNR tuition rates by 8-12 percent over that five-year period.

Johnson commented that 15 percent is a significant increase. He offered that 10 percent could be used as a middle ground, with performance assessed this budget cycle and adjusted after that. He voiced his agreement with Beeson to increase recruiting.

President Kaler remarked that the Board does not yet need to be concerned with the number of NRNR applications. He surmised that last year's decrease was due largely to losing those students who applied simply because the University was seen as a cheap option. He noted that the current NRNR applications are strong. Kaler reported that the actual year to date NRNR application rate is down by 6.6 percent, which he characterized as modest. He explained that the current year is also affected by the transition to a new application structure.

Kaler reminded the committee that the University currently ranks 13 of 14 among Big Ten institutions in terms of NRNR tuition. He acknowledged that the midpoint would most likely move within the two years being proposed, but that a two-year increase of 15 percent would get the University close to it. Kaler argued that Board needs to decide if it still desires the University to be at the midpoint of the Big Ten and if the University's brand is strong enough to support such a move.

He shared his belief that the University's recruiters can continue to fill each class. He emphasized that through targeted recruitment and the use of waivers and scholarships, the University can maintain diversity in recruitment and a range of access for NRNR students of all income levels.

Regent Sviggum expressed his support for the proposed increase. He remarked that the market supports the increase and reminded the committee that if revenue does not come from increasing NRNR tuition, the University will need to get it from resident students or Minnesota taxpayers.

Regent Rosha stated that his only reservation with the proposed plan is that it takes the University too long to arrive at the midpoint of the Big Ten. He suggested jumping to the midpoint price now based on the market. He conveyed his belief that the University has long been nationally and internationally prominent, suggesting that current price does not reflect that prominence, especially compared to peers. Rosha expressed his support for the 5.5 percent increase cap and that he would support the 15 percent increase.

Regent McMillan advocated that the University take advantage of the continuing elasticity in NRNR demand, but only with increased investment in recruiting and marketing. He referenced the University Progress Card, expressing his support for reaching the goal the Board defined for NRNR tuition. He noted his support for the 15 percent increase with additional recruitment investment.

Regent Powell offered examples of other Big Ten institutions that charge more than the University and have significantly higher percentages of NRNR students. He argued the University should be able to increase price without affecting the number of NRNR students. He indicated his support for the increase as long as it is paired with additional funding for recruitment.

Regent Hsu added his support for the proposed increase but noted that it would most likely take the University three years to reach the midpoint given anticipated increases made by other Big Ten institutions. He expressed his discomfort with setting only the NRNR tuition rate without discussion of the resident tuition rate. Hsu emphasized that he might support increasing the NRNR rate even more to ensure that resident tuition is frozen.

Kian suggested that the conversation about increasing recruitment funding should also include consideration of additional funding to alleviate the stress and financial burdens placed on students after they have been recruited to the University.

Burnett responded to comments made by the committee, confirming that the increase was designed with planned new investments in recruiting. He indicated that those investments will be made this year to ensure a strong yield for the upcoming academic year. He added that additional funding for admissions will be considered for the FY 2019 budget.

Anderson highlighted recent conversations with NRNR parents, noting that many of them thank the University for the lower tuition. He shared that voting to increase NRNR tuition was difficult, and that even with the 15 percent increase the Board would likely be asked to increase resident tuition by 2 percent. He observed that other Big Ten institutions use NRNR students as a source of additional revenue, but at the risk of decreasing the total number of resident students. He suggested that the University seek to have 67-70 percent of the student body be Minnesota residents. To meet that goal, Anderson agreed that some tuition would have to be increased.

The committee voted eight to two to recommend approval of the resolution related to FY 2019 Twin Cities non-resident, non-reciprocity undergraduate tuition rate. Regents Cohen and Lucas voted no.

Kaler commented that the job family data included in the docket materials responds to questions he has heard from the Board regarding the size of the various job families and how compensation rates are set against market data.

Brown described the process used in setting market rates, noting that it depends on the job and the market that job is in. She offered examples of positions that compete against local versus national markets. She explained how that consideration is used to adjust the comparable pay rates for each job family and define the range shown in the data.

In response to questions from Sviggum, Brown explained that the University used an outside consultant to establish salary ranges for each job family. She offered that the University does not typically compete for employees from the State of Minnesota and that few employees go back and forth between the State and the University. She suggested that the University competes more with the private sector, and stated that the Office of Human Resources is working to refine the job families and salary ranges. Brown anticipated that this work would take two to three years. Sviggum responded that he feels the University should view the counties and the State of Minnesota as competitors. He offered that many employees that he has heard from who come from the private sector do so to take advantage of the benefits, including retirement funding. Burnett added that it is not only where the University is attracting employees from, but also where the University is losing employees to, that influences compensation ranges.

Anderson recessed the meeting at 3:03 p.m.

### **STUDENT HOUSING ACROSS THE SYSTEM**

Regent Anderson reconvened the meeting at 3:15 p.m. and invited Interim Associate Vice Chancellor Lisa Samuelson, Crookston; Vice Chancellor Lisa Erwin, Duluth; Vice Chancellor Sandra Olson-Loy, Morris; and Associate Vice Chancellor Gail Sauter, Rochester, to discuss student housing across the system, as detailed in the docket.

Samuelson, Erwin, Olson-Loy, and Sauter each gave an overview of student housing on their respective campuses, outlining objectives of student housing, current capacity, observed outcomes, and planning.

Student Representative Kian shared concerns from fellow students regarding the ability of first-year students to obtain housing across the system and wondered if the Twin Cities campus first-year housing guarantee could be replicated on the other campuses. Olson-Loy reported that Morris guarantees first-year housing if the student requests housing by July 1. Sauter responded that most first-year Rochester students live in University housing, with some living at home in the greater Rochester area. Samuelson noted that Crookston is able to house all first-year students that request housing.

Student Representative Chen asked if Rochester students may use Twin Cities student legal services since they pay student services fees, noting that Rochester students may need help dealing with landlords. Sauter explained that Rochester students do not pay fees to the Twin Cities campus that would allow them to use the Twin Cities student legal services. She added that Rochester is examining how to provide services to students to review leases.

In response to a question from Chen, Erwin noted that Duluth started the academic year with 30 students housed in study rooms that were converted to dorm rooms. While those students have been moved into standard dorm rooms, the example highlights the need for additional housing capacity on campus. Olson-Loy echoed Erwin's comments that if Morris were able to add capacity, a married student or family housing program might follow. Samuelson reported that while Crookston has the capacity to offer married student housing, it has not figured out a way to make it financially attractive for students.

Regent Lucas asked about adequate capacity for married student housing on each of the campuses. Erwin responded that if Duluth expanded residence hall housing by 250 beds, it could use the campus apartments to create a married student housing program. She indicated interest in doing so if there was additional capacity.

In response to a question from Hsu, Senior Vice President Burnett stated that no housing projects for the Duluth campus are on the six-year capital plan. He noted that the Duluth campus is working to determine the best way to add capacity and support the additional beds financially through the capital planning process. Erwin added that the planning would need to include additional dining capacity.

Regent Powell noted the emphasis on academic benefits to students who live on campus and asked what campuses do for students who live off campus. Olson-Loy explained that students living off campus at Morris are still included in orientation and other activities that try to connect them with campus. Sauter explained that the physical structure of the Rochester campus creates connections between students by offering a wide variety of student activities in the apartment complex where students are housed. Erwin discussed a course at Duluth for any first-year student and that many students take the course.

**AMENDMENTS TO THE UNIVERSITY OF MINNESOTA FACULTY RETIREMENT PLAN**

Regent Anderson invited Vice President Brown and Kenneth Horstman, Senior Director, Office of Human Resources, to present for action proposed amendments to the University of Minnesota Faculty Retirement Plan (plan), as detailed in the docket.

Brown noted that no changes were made since the committee reviewed the amendments in October.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the proposed amendments to the University of Minnesota Faculty Retirement Plan.

**COLLECTIVE BARGAINING AGREEMENT:  
REGENTS OF THE UNIVERSITY OF MINNESOTA AND  
AFSCME LOCALS 3937 AND 3801, TECHNICAL EMPLOYEES**

Regent Anderson invited Vice President Brown and Patti Dion, Senior Director for Employee and Labor Relations, to present for review and action a collective bargaining agreement with the AFSCME Locals 3937 and 3801, Technical Employees (CBA), as detailed in the docket.

Dion outlined the terms and conditions of the CBA. She described the type of work done by the employees covered by the CBA.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the resolution related to the proposed labor agreement with AFSCME Locals 3937 and 3801, Technical Employees.

**CAPITAL BUDGET AMENDMENT:  
GOLF PRACTICE FACILITY (TWIN CITIES CAMPUS)**

Regent Anderson invited Marc Partridge, Interim University Architect, and Mark Coyle, Director of Intercollegiate Athletics, Twin Cities campus, to present for review a capital budget amendment related to the Golf Practice Facility (facility), as detailed in the docket.

Partridge described the facility's purpose and location. He reviewed the scope and cost, explaining that the project would be paid for entirely by donations.

Regent Rosha asked how the facility would affect current operating costs. Partridge stated that the operating cost is based on an estimate of other similar athletic facilities since a facility of this type does not currently exist.

Rosha asked about endowing the operating costs and the possibility of asking for additional funding from donors to do so. Senior Vice President Burnett estimated that the facility would require an endowment of approximately half a million dollars to support the annual operating costs of roughly \$20,000.

In response to Regent Lucas, Coyle explained that the women's and men's golf teams use a variety of practice spaces since there is no dedicated practice facility. He noted that the additional operating costs of the facility will be offset by savings gained from eliminating the cost to rent and transport student athletes to the current practice facilities.

Anderson noted that the capital budget amendment was only for review. Burnett explained that the facility is fully funded, and that action at this meeting would allow more time to design the facility.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the capital budget amendment related to the Golf Practice Facility, Twin Cities campus.

### **CONSENT REPORT**

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

#### **General Contingency:**

- There were no items requiring approval this period.

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

- To Cardinal Health for an estimated \$10,000,000 for the purchase of pharmaceuticals and related supplies for the period of November 1, 2017 through October 31, 2019 for Boynton Health Center. This purchase will be paid for from the sales of prescription and other items to patients, and from payments by University departments for pharmaceuticals. Supplier was selected through a competitive process.
- To CDW Government LLC for an estimated \$15,000,000 for Cisco equipment and support as needed for the Office of Information Technology's (OIT) Next Generation Network project, distribution/edge segment, for the period of December 18, 2017 through December 17, 2022. The first year purchase of equipment, support, and maintenance is funded through the financing plan for The Next Generation Network project, which was reviewed and approved by the Board in October 2016. Subsequent years' expense will be paid for as part of OIT's annual operating budget. Supplier was selected through a competitive process.
- To Duluth Transit Authority (DTA) for \$2,175,000 for DTA UPass Program for University of Minnesota Duluth Student Life Operations for the period of September 1, 2017 through August 31, 2022. Secured funds for payments come from multiple sources

including the Transportation Sustainability Fee, Auxiliary units, and Coca Cola. See enclosed documentation for basis for supplier selection.

- To Elsevier, Inc. for an estimated \$8,663,000 for subscription to Elsevier ScienceDirect as needed for the University Libraries for the period of January 1, 2018, through December 31, 2020. This is a three-year license with Elsevier. The first year (2018) will cost an estimated \$2,802,532 and increase approximately 3 percent in 2019 and 2020 totaling the three-year contract at an estimated \$8,663,000. The \$8,393,000 allotted as payment to Elsevier over the next three years is included in the University Libraries 2018, 2019 and 2020 budgets, as well as the 2018, 2019 and 2020 budgets for Duluth, Morris and Crookston Libraries. Supplier was selected by University Libraries under the authority granted by Board of Regents Policy: *Libraries and Archives* and under the University's purchasing of goods and services policy.
- To Mavo Systems and Environmental Plant Services for approximately \$2,000,000 for providing Emergency Water Event Services as needed for the Facilities Management Department for the period of January 1, 2018 through December 31, 2019 with possible contract extensions through December 31, 2022 for an additional \$3,000,000. Total value of the contract if all options are exercised would be \$5,000,000. Maintenance and operations of Emergency Water Event services is budgeted by a variety of organizations on the Twin Cities campus through their facilities budget. Suppliers were selected through a competitive process.

**Employment Agreements:**

- Jakub Tolar as Dean of the Medical School
- First Amendment to employment agreement - Head Football Coach, Twin Cities Campus
- Second Amendment to employment agreement - Head Football Coach, Twin Cities Campus

**Off-Cycle Tuition Approval**

**Amendments to Civil Service Rules**

The committee discussed the appointment of Tolar; whether 60 hours of private jet use is adequate for the head football coach; and how donations of private jet travel are handled.

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

**INFORMATION ITEMS**

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

- Annual Report on Targeted Business, Urban Community Economic Development, and Small Business Programs
- Campus Support of Super Bowl LII
- Investment Advisory Committee Update
- Quarterly Asset Management Report
- Quarterly Purchasing Report
- Semi-Annual Capital Planning & Project Management Report

Darryl Peal, Executive Director of Business & Community Economic Development, outlined the Annual Report on Targeted Business, Urban Community Economic Development, and Small Business Programs.

In response to a question from Powell, Peal explained that 90-94 percent of University spending with minority-owned and women-owned vendors are from the state of Minnesota.

Student Representative Chen asked if the University had a code of conduct for suppliers. Peal responded that it does not, but aspires to create one. He noted that the University does have expectations of contractors to meet set percentages of minority, women, or disabled individuals who are working on projects.

The meeting adjourned at 4:37 p.m.

A handwritten signature in black ink that reads "Brian R. Steeves". The signature is written in a cursive, flowing style.

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

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Governance & Policy Committee  
December 15, 2017**

A meeting of the Governance & Policy Committee of the Board of Regents was held on Friday, December 15, 2017 at 7:45 a.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Darrin Rosha, presiding; Thomas Anderson, Richard Beeson, Linda Cohen, Michael Hsu, Dean Johnson, Peggy Lucas, David McMillan, Kendall Powell, and Steve Sviggum. Patricia Simmons participated by phone

Staff present: President Eric Kaler; Chancellors Michelle Behr and Mary Holz-Clause; Interim Chancellor Lori Carrell; Executive Vice President and Provost Karen Hanson; Senior Vice President Brian Burnett; Vice Presidents Michael Berthelsen, Kathryn Brown, Matt Kramer and Allen Levine; Interim Vice President Jakub Tolar; General Counsel Douglas Peterson; Executive Director Brian Steeves; Chief Auditor Gail Klatt; and Associate Vice President Michael Volna.

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

Regent Rosha invited Senior Vice President Burnett and Executive Director Steeves to review proposed changes to the Board's approval thresholds as stated in Board of Regents Policy: *Reservation and Delegation of Authority*, as detailed in the docket.

Burnett reminded the committee of its October discussion on principles to guide review of approval thresholds. He outlined the current thresholds and proposed changes. Steeves summarized possible changes to the Board's appointment authority and language to clarify the policy's umbrella approval language.

Regent McMillan expressed his appreciation for the table of approval thresholds, which make it easy to see all of the thresholds for comparison.

Regent Beeson offered that he is not yet committed to the proposed thresholds, and explained his initial reactions. He noted his support for an increase in commercial purchases, but expressed nervousness about increasing real estate or capital thresholds, along with the elimination of Board approval of schematic designs.

President Kaler offered his view that the proposed changes to appointment authority and umbrella language will be difficult to implement. He suggested that if the Board wants to expand its appointment authority, it should name additional positions in the policy instead of setting a dollar threshold. He noted that the proposed language includes faculty positions, an area that in his view of past discussions is divisive and inappropriate. Kaler interpreted the umbrella language as superseding all other thresholds put in place by the Board, making it the primary threshold.

Rosha responded that after he left the Board in 1995, the Board removed the listing of coach positions but was assured that the president would continue to bring forward certain contracts based on total dollar amount. He noted that the umbrella language was cited as the reason to still bring those contracts forward, and suggested that the reason specific positions are listed in the policy is due to their impact on the mission and the authority they hold, not necessarily

on compensation or financial risk. He noted that the Board approves tenure for outside hires and that adding approval of faculty contracts will not burden the process.

Regent Simmons shared her view that appointments and real estate are different from goods and services. She spoke in support of increased thresholds for goods and services, but expressed concern regarding the increase in real estate thresholds. She noted that the University's campuses are in different real estate markets and a comparable purchase or sale of land in one market might trigger a threshold differently in another. She also suggested that the Board and administration consider the strategic objective of the land and ensure that any land purchase be a part of a broader strategic approval. Simmons explained that she now supports adding coaching positions to the list of appointments given their high impact. She suggested that the positions currently in policy do pose a financial risk, both in terms of salaries and the positions' significant budget oversight. She expressed concern with the threshold covering faculty.

Burnett clarified that the current real estate threshold for the purchase and sale of land includes a 10-acre provision. He stated that the new threshold is designed for consistency across thresholds, with cost as the only factor. Simmons responded that both purchase and sale affect the University's mission. Burnett agreed that even a small purchase could be a part of a larger strategic move by the University. He explained that trust between the Board and administration is a key component of any threshold. He suggested that the administration could report any real estate purchase to the Board if the new threshold is implemented.

Rosha commented that real estate can carry hidden costs that compound the University's financial investment. He suggested the committee consider this aspect when considering real estate thresholds.

Regent Hsu asserted that the contract extension for the Twin Cities campus head football coach falls under the current umbrella language. He emphasized that he will always argue for lower thresholds, noting that many of the contracts recommended for approval in yesterday's committee meeting were not discussed, demonstrating that having them in the docket is not burdensome. Their presence in the docket establishes a record and enables Regent questions. Hsu advocated for the Board approving every real estate transaction given the important strategic implication of buying or selling property. While indicating a preference for lower thresholds, he suggested using \$1 million as the standard threshold.

Regent Lucas agreed with Beeson and Simmons on the unique role real estate purchases play, and advocated for a different threshold from the purchase of goods and services. She added that having schematic designs come with the final project review seemed to be backwards, and encouraged the committee to think more about this area before taking action.

Regent McMillan concurred with other committee members regarding real estate thresholds and suggested that the Board leave the current thresholds in place.

Regent Powell asked Kaler to comment on how faculty appointments would be affected by including them in the proposed appointment language, and about the practices of peer institutions. Kaler outlined an example and offered that adding Board approval to the process of a department chair negotiating with a faculty member could become cumbersome. He explained that part of his concern stems from whether the Board adds value and wondered whether the Board would ever deny an appointment because the contract costs too much. He noted that the Board's governance role is in approval of the operating budget and evaluating the administration's performance against that budget. Kaler said he is unaware of any institution requiring board approval of a faculty member based on compensation only.

Rosha clarified that the proposed language before the committee is specific to the contract between the University and the employee. He noted that unless some of the items mentioned by

Kaler are included in the contract, they will not trigger the threshold. He suggested that the value the Board brings is basic oversight of the public's resources, and offered that the Board would be exercising oversight of the appointment more than judgment of what the decision should be.

Regent Anderson agreed that the Board provides oversight value and that the Board should exercise that oversight by evaluating how the administration performs against the budget. He stated that if a dean wants to use an approved budget to hire an individual for \$2.1 million, it is the Board's role to assess how that individual performs and moves the college forward. Anderson added that he has found giving individuals authority results in higher performance, stressing the need to balance oversight against individuals exercising the opportunity to lead.

Beeson noted his agreement with Simmons and that he is willing to add the football and men's basketball head coach contracts to policy given the visibility of those positions.

Regent Johnson commented that the thresholds conversation hinges on the level of trust between the Board and administration. He stressed that unless the Board lost trust and confidence in Kaler and his administration, it should set forth strategies and expectations and assess the president against them. Johnson explained his opinion that governing boards should not get too deeply involved in management details. He clarified that real estate is one area where the Board should provide additional oversight given the enduring nature of a sale or purchase. He added his agreement with Beeson and Simmons on the addition of Board approval for football and men's basketball head coaches.

Regent Cohen offered her agreement with Anderson that the Board should give the senior leaders of the University the tools to lead and then let them lead. She offered further agreement with Johnson that the Board must balance trust with oversight and firmly remain a governing board. Cohen stated that she is now willing to add the football and men's basketball head coach contracts to the policy given their high profile. She advocated that the Board not approve any faculty contracts.

Simmons commented that her support for adding approval of the football and men's basketball head coaches is due to the high visibility of those positions, but also due to the complexity of the market. She suggested that the Board share in the responsibility of making those hires to ensure the best representation of the interests of Minnesotans.

Hsu agreed with the concept of trust between the Board and administration, but cited the need to trust and verify the actions taken by the administration. He noted the importance of transparency.

Rosha conveyed significant public interest in the Board providing necessary oversight of the institution, noting the importance of calibrating the Board's engagement at the right risk level. He advocated building a culture that sees Board approval as a benefit instead of a hindrance. He emphasized the value to the public in having the Board review contracts with large dollar values, but cautioned that Title IX risks arise if only contracts for men's sports are reviewed.

### **BOARD OPERATIONS, PART 3: LEGISLATIVE REPORTS AND PRESIDENTIAL PERFORMANCE REVIEW, EVALUATION, AND COMPENSATION**

Regent Rosha invited Executive Director Steeves to review legislative reports and the presidential performance review, evaluation, and compensation process described in Board of Regents Policy: *Board Operations and Agenda Guidelines* (BOAG), as detailed in the docket.

Steeves outlined the remaining items requiring review. He described the types of reports made to the State of Minnesota and noted that BOAG does not currently provide guidance on which types of reports come to the Board for approval before being submitted to the state.

Regent Beeson expressed interest in knowing about the various reports to the state, but suggested the Board only approve specific reports like the *University Plan, Performance, and Accountability Report*. He suggested that the administration track the number of reports sent to the state and then suggest required reports that are no longer needed.

Steeves reminded the committee of the agenda-setting process and how items are determined to be listed for review at one meeting and action at a subsequent meeting. He explained that the respective committee chair and vice chair review the item with the respective senior leader and, with Board leadership, determine how the item moves through the Board.

Rosha commented that the historic practice was review at one meeting and action at a subsequent meeting, noting that this allows the public to comment on an item between meetings. He acknowledged that some items that do not generate significant interest or questions could support review and action in one meeting. Rosha proposed instituting a process that if a committee or the Board were to move an item to review and action in one meeting, the objection of a single Regent would require the item to remain review-only.

Regent McMillan agreed, explaining that he does not generally like review and action in one meeting. He voiced his belief that the Board does a better job of oversight when it can review items one month and take action at a subsequent meeting. He added that some action items, like real estate transactions, lend themselves to review and action in one meeting. He agreed that if the Board as a whole wants to move forward with review/action in one meeting, it should.

**COMMITTEE CHARGES:  
AUDIT & COMPLIANCE COMMITTEE**

Regent Rosha invited Chief Auditor Klatt and Maggie Flaten, Board Associate, Communications & Committees, to discuss a draft committee charge for the Audit and Compliance Committee, as detailed in the docket.

Flaten noted this is the third in a series of committee conversations to review draft amendments to Board of Regents Policy: *Board Operations and Agenda Guidelines* (BOAG) to codify the new committee structure. She explained that the language contained in the charge is taken both from what is currently in BOAG, but also from Board of Regents Policy: *Audit Committee Charter*. She added that combining *Audit Committee Charter* with BOAG places all committee charges in one policy location and does not substantively alter the role of the committee or the University's audit function.

Flaten noted that moving the *Audit Committee Charter* into BOAG will align with the practices of the majority of other boards in the Big Ten. She reviewed the committee description, highlighting that this charge includes a delegation of authority to the committee given its unique role in the audit function of the University. She detailed the types of items the committee recommends to the Board for action.

Klatt outlined the responsibilities of the committee, areas of oversight and required reports, and the change in the committee's name reflecting increased focus on the University's compliance function. She stressed the importance of the *Audit Committee Charter* to the University's audit function given the audit function's unique relationship to the Board. She reminded the committee that the authority granted to the audit function comes directly from the Board. Klatt requested that the committee be thoughtful in its consideration of removal of

*Audit Committee Charter*. She added that she is unaware of any peer institutions currently considering removing an audit committee charter.

The committee engaged in a discussion regarding the proposed charge and whether *Audit Committee Charter* should be repealed and combined with BOAG.

**COMMITTEE CHARGES:  
GOVERNANCE & POLICY COMMITTEE**

Regent Rosha invited Executive Director Steeves to discuss a draft committee charge for the Governance & Policy Committee, as detailed in the docket.

Steeves reviewed the committee charge. He explained that the role of the committee is to ensure the integrity and high performance of the Board. He outlined ways the committee will carry out its role, including guiding the board to articulate a clear vision for the University, clarifying reserved and delegated authorities, thoughtfully considering risk, and establishing institutional benchmarks and performance measures.

The meeting adjourned at 9:17 a.m.



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

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Board of Regents Meeting  
December 15, 2017**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, December 15, 2017 at 9:32 a.m. in the Boardroom, 600 McNamara Alumni Center.

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

Staff present: President Eric Kaler; Chancellors Michelle Behr, Lendley Black, and Mary Holz-Clause; Interim Chancellor Lori Carrell; Executive Vice President and Provost Karen Hanson; Senior Vice President Brian Burnett; Vice Presidents Michael Berthelsen, Kathryn Brown, Bernard Gulachek, Matt Kramer, and Allen Levine; Interim Vice Presidents Michael Goh and Jakub Tolar; General Counsel Douglas Peterson; Executive Director Brian Steeves; Chief Auditor Gail Klatt; and Associate Vice President Michael Volna.

**INTRODUCTIONS**

**Vice President, University Services**

President Kaler introduced Michael Berthelsen, Vice President, University Services, who began his appointment on October 2, 2017. He briefly addressed the Board.

**Vice President for Research**

President Kaler introduced Al Levine, Vice President for Research, who began his appointment on October 16, 2017. He briefly addressed the Board.

**Dean, School of Fine Arts, University of Minnesota Duluth**

President Kaler and Chancellor Black introduced Robert Kase, Dean, School of Fine Arts, University of Minnesota Duluth, who began his appointment on June 30, 2017. He briefly addressed the Board.

**APPROVAL OF MINUTES**

The Board voted unanimously to approve the following minutes as presented in the docket materials:

Finance & Operations Committee – October 12, 2017  
Audit & Compliance Committee – October 12, 2017  
Litigation Review Committee – October 12, 2017  
Mission Fulfillment Committee – October 12, 2017  
Governance & Policy Committee – October 13, 2017  
Board of Regents – October 13, 2017

### **REPORT OF THE PRESIDENT**

President Kaler reported on several items, including his recent visit to China; the federal tax bill; work by the Minnesota Student Association to increase student voting; joining Big Ten presidents and chancellors to advocate for a permanent legislative solution for Deferred Action for Childhood Arrivals (DACA) students; and initiatives across the system.

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

### **REPORT OF THE CHAIR**

Regent McMillan offered examples from the Board's December agenda demonstrating how the Board is working to achieve its priorities, including diversity in Twin Cities campus undergraduate enrollment; review of the 2017 University Plan, Performance, and Accountability Report; work to increase private and public support for the University's mission as demonstrated in the gifts report; and the appointment of Jakub Tolar as dean of the Medical School.

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

### **RECEIVE AND FILE REPORTS**

Regent McMillan noted the receipt and filing of the Quarterly Report of Grant and Contract Activity and the Annual Financial Report.

### **CONSENT REPORT**

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

- Gifts
- Report of the All-University Honors Committee
- Report of the Naming Committee
- Report of the Regents Award Nominating Committee
- Ratification of Ex Officio Appointment to Fairview Health Services Board of Directors
- Conflict Management Plan
- Resolution Related to Dissolution of the Minnesota 4-H Foundation and the Transfer of Assets to the University of Minnesota Foundation

McMillan noted that Regent Powell recused himself from action on the Consent Report due to a potential conflict of interest related to a gift from General Mills.

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

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

Regent McMillan invited Professor Joseph Konstan, chair of the Faculty Consultative Committee (FCC), to report on the committee's recent activities.

Konstan noted that this is his first report to the Board as FCC chair. He outlined his experience at the University, both as a professor and within the University Senate. He described the recent work of the FCC, including discussions about liberal education; a review of changes to University policies dealing with sexual harassment and sexual assault; and the withdrawal of the maintenance of status quo order, which allowed a variety of initiatives to move forward. He expressed his appreciation for the role shared governance plays in University decision making and the openness of the Board and administration to discussion.

Regent Powell asked about emerging themes from the listening sessions related to liberal education. Konstan reported that while specific themes are still emerging, some question whether the classic model of liberal education can be strengthened by engaging more directly with historically underemphasized forms of knowledge such as design, engineering, and design thinking. Others wonder whether a focus on computation and data analysis should be included, and how liberal education should be delivered to students. Konstan shared one example of whether a student should learn about other cultures through a traditional course or through an opportunity to be immersed in the culture. He described how the listening sessions have focused as well on how to extend the emphasis on writing through a wider variety of communication skills.

Regents Cohen and Johnson expressed their thanks for Konstan's service, contributions to shared governance, and willingness to address the Board.

Regent Rosha asked Konstan how the University has changed over his 29 years of service, especially related to changes in the student body. Konstan commented that while the entry requirements for the College of Science of Engineering have always been high, students entering the college today are better prepared and more advanced in their area of study. He noted that more students are coming into his area of study having had courses on the topic in high school. He observed that increased student preparation challenges faculty to be prepared in a different way to teach them. Konstan further observed that students are under much greater stress due to financial costs and academic requirements. He mentioned the stress that first-generation students face in learning to navigate the University without the guidance of experienced family members. Konstan remarked that greater stress taxes the University's student mental health resources. He added that the pressure on faculty to perform at a high level has also increased, compounded by the ever-increasing scarcity of grant funding.

Regent Hsu asked Konstan to discuss his recent meeting with peers from the Big Ten and how the University compares in the area of shared governance. Konstan explained that he was shocked that some faculty from other institutions questioned why administrators attend the University's Faculty Senate meetings. He emphasized that in his view, a strength of the University's shared governance system is the robust interaction between the University Senate and members of the Board and senior leadership. He argued that those interactions position the Faculty Senate to advise the administration on important policy initiatives and the direction of the institution. Konstan explained that he heard about recent presidential searches or corporate deals, like Purdue's purchase of Kaplan, as examples where peers felt bypassed by boards and administrators. He emphasized that while he feels the University's shared governance system works, it is a best practice to look at ways to increase the system's effectiveness.

Regent Anderson asked about ideas from the faculty on how the University can help build coping mechanisms for both students and faculty. Konstan offered that he views stress as not uniformly bad, but that stress can turn toxic when expectations exceed an individual's capacity to productively handle it. He discussed the need to carefully monitor resources, while challenging faculty to examine the structure of their classes to see if a less stressful method could be used to accomplish the same educational goal. Konstan offered his view that training faculty and staff to identify students who are in crisis and establish an obligation for them to take action would be helpful.

**2017 UNIVERSITY PLAN, PERFORMANCE, AND ACCOUNTABILITY REPORT**

Regent McMillan invited President Kaler and Provost Hanson to present for review the 2017 *University Plan, Performance, and Accountability Report* (report), as detailed in the docket.

Hanson reminded the Board of the report's role, agreeing with recent conversations in the Governance & Policy Committee on its importance and evolution with the addition of the University Progress Card. She offered examples from the past year of how students, faculty, staff, and alumni are fulfilling the University's mission. She discussed access to education, retention of students and six-year graduation rates, and the student experience.

Kaler described the data that underlie both the report and other reports and presentations to the Board. He noted the data behind the University Progress Card measures and used during recent presentations related to the system-wide strategic plan. He described Minnesota's higher education landscape and trends in state higher education spending compared to the rest of the nation and over time.

Kaler outlined non-resident tuition across the Big Ten and undergraduate resident tuition compared to regional universities. He summarized data on the percentage of recent Minnesota high school graduates attending postsecondary institutions and the changing demographics of Minnesota and the nation. He commented on data showing what employers want in college graduates. He noted that alignment in this area is important, pointing out that the University has room to grow in its ongoing work toward alignment.

Kaler summarized recommendations from the Association of American Universities regarding high-impact student experiences and how the University's undergraduates compare. He described how the University is unique in its size, scope, and breadth of offerings compared to other Big Ten and peer institutions.

Regent Omari observed that the comparative data is a reminder of the University's unique opportunities within the state, especially regarding demographic changes. He encouraged the Board to continue to think about these data as those many overlapping conversations continue.

Regent Cohen expressed her support for the report, noting that she found the simplification of the report helpful.

Regent Beeson highlighted the inclusion of the University Progress Card as a way to demonstrate to the Minnesota Legislature that the University is goal-driven, and recommended that the report lead with those goals. He emphasized that the University is setting its own goals, which is preferable to having goals imposed by the state. He offered his belief that the University's goals and goals he has heard articulated by the legislature are in alignment.

Kaler responded that this year's report seeks to distill the information to a more portable version and that the Progress Card helps to do that. He offered that the Progress Card demonstrates the areas the University excels in while clearly showing areas that need improvement.

Regent Powell offered his appreciation for the data-rich report and its positive stories but encouraged Kaler and Hanson to continue to think of ways to distill and focus the report to highlight those stories, suggesting a more linear navigation through the report. Powell noted a lack of reporting on student success and employment rates, which he identified as crucial metrics. He advocated for adding operating efficiency and student indebtedness to the report.

Regent Sviggum recalled a meeting with then-President Bruininks seeking additional funding for the University. At the time, the University was struggling to retain freshman, recruit

students of color, and graduate students in four years. He explained that at the time, he encouraged the University to set performance goals in those areas. Sviggum expressed his appreciation for the establishment of those measures, many of which have shown dramatic improvement. He agreed with Powell regarding inclusion of more data on student outcomes.

Hanson responded that student outcome and placement data are external data that are difficult to obtain. She cautioned that the University relies on graduates and other external sources to report the data, making it less complete than other sources. She committed to improving this area and noted her office will relay the information the University is able to obtain.

Regent Rosha referred to the system-wide Promise Scholarship map and suggested that the smaller greater Minnesota numbers might stand out to area legislators. He commented on the section in the report that compares the University's position to the rest of the state's higher education system. He noted the difference between Minnesota State and the University and the need to continue making the case for the University's unique position. Rosha referenced the argument that the University is the primary public institution to attract talent from outside of the state, adding that the University is also the only public institution with the ability to retain top talent from the state. He cited the high performance of the University's students and that nine out of 10 students who attend the University from Minnesota stay in the state. He compared this to non-resident students, stating that 27 percent of those students remain here.

Rosha acknowledged that other factors influence Minnesota students staying in Minnesota, and speculated that of the 10 percent who leave, only 30 percent do not return. He pointed to this as an example of why the University needs to be funded by the state. Rosha cautioned the administration that showing how inexpensive the University is compared to other state institutions could be self-defeating given that each student's ability to pay tuition differs.

Regent Lucas expressed her appreciation for the report and asked for deeper data regarding access, especially for the Twin Cities metro area.

Regent Anderson commented that in areas like Alexandria, the Crookston, Duluth, Morris, and Rochester campuses are viewed as comparable to Minnesota State institutions but with the added benefit of the University name. He cautioned that the University's higher tuition makes it difficult for the University's campuses to compete. He encouraged the Board and administration to keep working on solutions to keep the University more competitively priced.

**RATIFICATION OF ADMINISTRATIVE POLICY:  
SEXUAL HARASSMENT, SEXUAL ASSAULT, STALKING AND RELATIONSHIP VIOLENCE**

Regent McMillan invited Office of Equal Opportunity and Affirmative Action (EOAA) Director and Title IX Coordinator Tina Marisam and Deputy General Counsel Brian Slovut to present for ratification Administrative Policy: *Sexual Harassment, Sexual Assault, Stalking, and Relationship Violence*, as detailed in the docket.

Marisam reviewed changes made to the proposed administrative policy language since the Board last reviewed it in October. She detailed employee reporting requirements in the proposed policy language and explained the process that will be used when an employee reports to a campus Title IX office. She outlined the goals of the required employee reporting.

Regent Rosha stated that he supports ratification of the proposed changes and expressed his appreciation for the work to clarify the draft language. He referenced the ongoing review at the national level and explained that the University was close to the best among its peers in this area. He stressed the need to continue to consider how to refine the policy going forward.

Rosha outlined some of his specific remaining concerns, and asked for additional context regarding the reporting requirements and how the University can balance the seeking of confidential assistance and triggering an investigation. Marisam explained that in her view, the reporting requirements increase the victim's control and empowerment. When EOAA receives a report, they reach out, provide the victim with resources, and explain that the victim can choose whether an investigation is pursued. She added that anecdotal observations from peer institutions do not indicate a decrease in reporting. She speculated that once the University community fully understands the reporting requirements and the ability of the victim to determine what happens after the report is made, it will build trust in the University's process. Marisam also explained that student employees reporting on friends can be confusing, but that the policy and resources try to clearly define and limit the reporting requirements of student employees. She clarified that student employees are only required to report when one student has direct authority over another student.

Regent Hsu expressed his support, noting the evolution of the language and his appreciation for one comprehensive policy that deals with both sexual harassment and sexual misconduct. He agreed with Rosha that the conversation in this area needs to continue, especially in light of changes that may come from the federal Department of Education.

Hsu asked for clarification of what type of student employee is covered by the reporting requirement. Marisam responded that all student employees are covered by the policy, but only those with direct authority over others are required to report. Hsu asked about penalties for failure to report. Marisam explained that in many instances of failure to report, it is a matter of the employee needing additional training to understand the requirements and not an intentional action. She stated that a case of intentionally failing to report will be considered a performance issue, and the supervisor and unit human resources staff will address the issue with the employee. Hsu responded that he supports the new mandatory training requirement for all employees.

A motion was made and seconded, and the Board voted unanimously to ratify Administrative Policy: *Sexual Harassment, Sexual Assault, Stalking, and Relationship Violence*.

**BOARD OF REGENTS POLICY:  
STUDENT CONDUCT CODE (STUDENT GROUP JURISDICTION)**

Regent McMillan invited Deputy General Counsel Brian Slovut to present for review proposed amendments to Board of Regents Policy: *Student Conduct Code* related to student group jurisdiction, as detailed in the docket.

Slovut explained that the Office of the General Counsel and the Office of the President, working with the Board, drafted revised language to clarify when the *Student Conduct Code* applies to student groups. He noted that in situations when a student group directs, sponsors or endorses conduct that violates the *Student Conduct Code*, the student group could be held responsible. Slovut added that in situations where any officer knew or should have reasonably known that conduct in violation of the *Student Conduct Code* would likely occur from an event held by the student group and failed to take appropriate steps to prevent the conduct, the student group could be held responsible. He indicated that the proposed revisions were consulted with student affairs professionals across the system.

McMillan expressed his view that it is challenging to attribute the conduct of an individual to a broader group, but that the proposed amendments may create a standard that will be easier to apply and interpret. He asked about feedback from student groups. Slovut responded that the

policy language has not yet been consulted with student groups and that the administration planned to obtain that feedback before the policy returns for action.

In response to a question from Regent Beeson, Slovut explained that the *Student Conduct Code* applies to all students, regardless of their status as student athletes. The student athlete conduct code applies to student athletes in addition to the *Student Conduct Code*. Slovut clarified that the draft language only applies to registered student groups and will not include teams from any University Department of Intercollegiate Athletics. Beeson wondered if having two codes is confusing and whether student athletes will know which applies in a particular situation. Slovut responded that he is unsure about training student athletes receive regarding the two codes.

Regent Hsu asked for more detail on the type of student group affected by the proposed language, citing examples of an informal gathering of a group of students or intramural teams. Slovut reiterated that the policy only applies to those student groups that are registered as student groups. If a group of students took part in an activity as a group that was not a registered student group, the *Student Conduct Code* would apply to them as individuals only. Slovut noted his uncertainty whether intramural teams are registered student groups, but suggested they are not.

Regent McMillan recessed the meeting at 12:03 p.m.

### **ANNUAL FINANCIAL REPORT**

Regent McMillan reconvened the meeting at 12:30 p.m. and invited Senior Vice President Burnett and Associate Vice President Volna to present the University's Annual Financial Report (report), as detailed in the docket.

Burnett explained that the report was affected by recent changes made by the State of Minnesota to pension assumptions for the Minnesota State Retirement System (MSRS) and the Public Employees Retirement Association (PERA) based on guidance from Governmental Accounting Standards Board (GASB) statement 68. He offered that despite changes made to MSRS and PERA and their impact on the report, the University continues to maintain a strong financial position and an excellent credit rating.

Volna reported on the total net position of the University, total net operating revenues, comparisons to FY 2016, and that the change to MSRS and PERA assumptions added an increase to expenses of \$330.4 million. Total assets increased by \$72 million or 1.2 percent and total liabilities increased by \$1.635 million or 66.5 percent, demonstrating the impact of the GASB change. Volna also reviewed the balance sheet, revenues, operating expenses, cash flows, future impacts of GASB pension changes, and the University's component units.

Regent Powell requested additional detail on how the administration seeks to engage the state in its planning for MSRS and PERA. Volna explained that the University has 63 employees covered by PERA and 8,900 covered by MSRS. He noted that ideally, the University will gain governance representation, and suggested that the University has always believed its employees offer a stable pension risk for the state. Powell asked if Government Relations could advocate for that type of change to the Minnesota Legislature. Volna responded that the first step is to learn more about the MSRS/PERA governance model to enable the University to understand the best way forward. He offered to update the Board in a future annual report.

**REPORT OF THE MISSION FULFILLMENT COMMITTEE**

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

- 1) Approval of the Consent Report for the Mission Fulfillment Committee as presented to the committee and described in the December 14, 2017 committee minutes.

A motion was made and seconded, and the Board voted unanimously to approve the recommendation of the Mission Fulfillment Committee.

**REPORT OF THE AUDIT & COMPLIANCE COMMITTEE**

Regent Cohen, chair of the committee, reported that the committee received an update on Twin Cities undergraduate admissions audit findings; considered a draft Institutional Risk Profile; discussed compliance initiatives; reviewed the external auditor report; and heard an update on small business procurement.

**REPORT OF THE LITIGATION REVIEW COMMITTEE**

Regent Beeson, chair of the committee, reported that pursuant to notice sent by the University, the Litigation Review Committee met on December 14, 2017. At this meeting, a resolution was considered and adopted that authorized the closing of the meeting. In the closed meeting, discussion was held on matters subject to the attorney-client privilege.

**REPORT OF THE FINANCE & OPERATIONS COMMITTEE**

Regent Anderson, chair of the committee, reported that the committee voted to recommend:

- 1) Approval of the resolution related to the FY 2019 Twin Cities Undergraduate Nonresident/Non-Reciprocity Tuition Rate. A motion was made and seconded, and the Board voted 9-3 to approve the resolution as follows. Regents Cohen, Lucas, and Omari voted no.

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

WHEREAS, the current undergraduate nonresident/non-reciprocity tuition rate for the Twin Cities campus is set at a level inconsistent with the corresponding resident tuition rate in terms of comparison to peers; and

WHEREAS, communicating a significant change in the Twin Cities undergraduate nonresident/non-reciprocity tuition rate as early as possible, before the end of the calendar year, will benefit the process to reach enrollment goals; and

WHEREAS, significant increases in the tuition rate could negatively impact the retention rates of current nonresident/non-reciprocity students (freshmen through juniors during the 2017-2018 academic year).

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents approves the FY 2019 Twin Cities undergraduate nonresident/non-reciprocity tuition rate as stated in Attachment 1 - University of Minnesota 2018-19 Tuition Plan: Tuition Rates, with a

commitment to hold the rate increases to no more than 5.5 percent for continuing nonresident/non-reciprocity students.

Omari left the meeting.

Anderson reported that the committee voted unanimously to recommend:

- 2) Approval of amendments to the University of Minnesota Faculty Retirement Plan. A motion was made and seconded, and the Board voted unanimously to approve the amendments.
- 3) Approval of the resolution related to the proposed labor agreement with AFSCME Locals 3937 and 3801, Technical Employees. A motion was made and seconded, and the Board voted unanimously to approve the resolution, as follows:

WHEREAS, the parties have met and negotiated over the course of the past several months and have reached agreement regarding terms and conditions of employment regarding the employees of this bargaining unit; and

WHEREAS, the AFSCME Locals 3937 and 3801 have ratified acceptance of this agreement; and

WHEREAS, according to Board of Regents Policy: Reservation and Delegation of Authority, approval of labor agreements by the Board of Regents is required.

NOW, THEREFORE, BE IT RESOLVED that on the recommendation of the President, the Board of Regents approves this labor agreement as outlined in the Finance & Operations Committee docket for December 14, 2017.

- 4) Approval of an amendment to the FY 2018 Annual Capital Improvement Budget related to the Golf Practice Facility on the Twin Cities campus. A motion was made and seconded, and the Board voted unanimously to approve the amendment.
- 5) Approval of the Consent Report for the Finance & Operations Committee as presented to the committee and described in the December 14, 2017 committee minutes. A motion was made and seconded, and the Board voted unanimously to approve the Consent Report.

#### **REPORT OF THE GOVERNANCE & POLICY COMMITTEE**

Regent Roshia, chair of the committee, reported that the committee had no action items this month.

#### **NEW BUSINESS**

Regent Johnson noted the death of longtime University professor Wallace Nelson, mentioning his outstanding contributions to the University and state.

Regent McMillan directed Executive Director Steeves to read a resolution to conduct a non-public meeting of the Board of Regents to discuss attorney-client privileged matters as follows:

WHEREAS, based on advice of the General Counsel, the Board of Regents has balanced the purposes served by the Open Meeting Law and by the attorney-client privilege, and determined that there is a need for absolute confidentiality to discuss

particular matters involving the University of Minnesota.

NOW, THEREFORE, BE IT RESOLVED, that in accordance with Minn. Stat. § 13D.01, Subd. 3 and 13D.05, Subd. 3(b), the remainder of this Board of Regents meeting will be non-public for the purpose of discussing attorney-client privileged matters related to potential litigation involving non-public educational data.

A motion was made and seconded, and the Board voted 10-0 to approve the resolution. The public portion of the meeting ended at 12:56 p.m. Regent Cohen abstained from voting.

Due to a technical issue, Regent Simmons was unable to participate in the non-public portion of the meeting.

The meeting adjourned at 2:00 p.m.



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



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**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 items of interest to the University community at each Board meeting.



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** Report of the Chair

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Regent David J. McMillan

## **PURPOSE & KEY POINTS**

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



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** Receive & File Reports

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Regent David J. McMillan

## **PURPOSE & KEY POINTS**

The following items are included for receipt and filing:

- A. Summary of Expenditures

UNIVERSITY OF MINNESOTA  
 BOARD OF REGENTS  
 SUMMARY OF EXPENDITURES  
 GENERAL OPERATIONS & MAINTENANCE FUND  
 SIX MONTHS ENDING DECEMBER 31, 2017

	FY 2018			FY 2017		
	Budgeted Revenues / Expenditures	Actual Revenues / Expenditures	Percentage Expended	Budgeted Revenues / Expenditures	Actual Revenues / Expenditures	Percentage Expended
Beginning Balance (Prior Year Carryforward)	\$ 320,000	\$ 309,686		\$ 338,000	\$ 322,162	
<b><u>Revenues</u></b>						
Total Allocation	\$ 904,937	\$ 904,937		\$ 886,537	\$ 886,537	
Net Transfers	\$ -	\$ -		\$ -	\$ -	
<b>Total Resources</b>	<b>\$ 1,224,937</b>	<b>\$ 1,214,623</b>		<b>\$ 1,224,537</b>	<b>\$ 1,208,699</b>	
<b><u>Expenditures</u></b>						
Salaries	\$ 603,271	\$ 291,426	48.3%	\$ 576,381	\$ 283,094	49.1%
Fringe Benefits	\$ 194,106	\$ 78,946	40.7%	\$ 177,071	\$ 86,780	49.0%
Supplies, Equipment, Board Expenses, etc.	\$ 235,299	\$ 113,842	48.4%	\$ 228,403	\$ 88,969	39.0%
<b>Total Expenditures</b>	<b>\$ 1,032,676</b>	<b>\$ 484,214</b>	<b>46.9%</b>	<b>\$ 981,855</b>	<b>\$ 458,843</b>	<b>46.7%</b>
<b>Ending Balance</b>	<b>\$ 192,261</b>	<b>\$ 730,408</b>		<b>\$ 242,682</b>	<b>\$ 749,856</b>	

UNIVERSITY OF MINNESOTA  
 PRESIDENT'S OFFICE  
 SUMMARY OF EXPENDITURES  
 GENERAL OPERATIONS AND MAINTENANCE FUND  
 6 MONTHS ENDING DECEMBER 31ST, 2017  
 (Unaudited)

	<b>CURRENT YEAR</b>		<b>PRIOR YEAR</b>	
	CURRENT BUDGET 2017/2018	REVENUES/ EXPENDITURES YTD 2017/2018	CURRENT BUDGET 2016/2017	REVENUES/ EXPENDITURES YTD 2016/2017
<b>Beginning Balance (Prior Year Carry forward)</b>	\$428,785	\$386,085	\$321,288	\$392,539
<b>Revenues</b>				
Transfer in	\$267,000		\$260,912	
Total Year Allocation	\$3,431,962	\$3,431,962	\$3,384,562	\$3,384,562
Total Resources	<u>\$4,127,747</u>	<u>\$3,818,047</u>	<u>\$3,966,762</u>	<u>\$3,777,101</u>
<b>Expenditures</b>				
President's Office Salaries	\$1,598,066	\$684,090	\$1,720,622	\$785,645
President's Office Fringe Benefits	\$715,776	\$218,857	\$702,574	\$241,134
Supplies, Expense, Equipment Ofc of the President-General Operations	\$155,681	\$81,194	\$124,292	\$82,890
President's Travel&External Relations	\$26,116	\$11,252	\$26,116	\$14,484
Academic/Programmatic Initiatives	\$574,568	\$240,416	\$451,055	\$290,727
University Wide Memberships	\$318,212	\$294,073	\$318,212	\$244,379
<b>Sub Total Expenditures-President's Ofc</b>	<u>\$3,388,419</u>	<u>\$1,529,882</u>	<u>\$3,342,871</u>	<u>\$1,659,259</u>
Eastcliff Management Office Salaries	\$61,966	\$24,971	\$59,325	\$28,429
Eastcliff Management Office Fringe Benefits	\$11,568	\$4,073	\$10,959	\$5,453
Supplies, Expense, Equipment Eastcliff Management Ofc-General Operations	\$6,577	\$5,218	\$12,433	\$3,887
<b>Sub Total Expenditures-Eastcliff</b>	<u>\$80,111</u>	<u>\$34,262</u>	<u>\$82,717</u>	<u>\$37,769</u>
<b>Total Expenditures</b>	<u>\$3,468,530</u>	<u>\$1,564,144</u>	<u>\$3,425,588</u>	<u>\$1,697,028</u>
<b>Ending Balance</b>	<u><u>\$659,217</u></u>	<u><u>\$2,253,903</u></u>	<u><u>\$541,174</u></u>	<u><u>\$2,080,073</u></u>

**University of Minnesota**  
**Facilities Management and President's Office Summary of Expenditures for Eastcliff**  
**General Operations and Maintenance Fund**  
**6 Months Ending December 31st, 2017**  
**(unaudited)**

	<i>CURRENT YEAR</i>			<i>PRIOR YEAR</i>		
	FM Eastcliff Management 2017/18	Eastcliff event Management 2017/18	TOTAL	FM Eastcliff Management 2016/17	Eastcliff event Management 2016/17	TOTAL
<b>Beginning Balance (Prior Year Carry forward)</b>		\$223,990	\$223,990	\$0	\$225,788	\$225,788
<b>Revenues</b>						
Total Year Allocation	\$313,012	\$72,707	\$385,719	\$342,811	\$71,253	\$414,064
Transfer from Office of the President			\$0			\$0
Transfer from the general contingency fund			\$0			\$0
Transfer from Central Reserves			\$0			\$0
Total Resources	\$313,012	\$296,697	\$609,709	\$342,811	\$297,041	\$639,852
<b>Expenditures</b>						
Salaries and Fringe Benefits	\$44,543	\$29,044	\$73,587	\$63,059	\$33,880	\$96,939
Supplies, Expense, Equipment	\$142,437	\$5,218	\$147,655	\$153,373	\$3,889	\$157,262
Transfer to FM			\$0			\$0
Transfer to/(from) the Eastcliff Project Reserve	(\$12,592)		(\$12,592)			\$0
Total Expenditures	\$174,388	\$34,262	\$208,650	\$216,432	\$37,769	\$254,201
<b>Ending Balance</b>	<b>\$138,624</b>	<b>\$262,435</b>	<b>\$401,059</b>	<b>\$126,379</b>	<b>\$259,272</b>	<b>\$385,651</b>



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** Consent Report

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Regent David J. McMillan

## **PURPOSE & KEY POINTS**

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

### **A. Gifts**

The President recommends approval of the Summary Report of Gifts to the University of Minnesota through November 30, 2017.

### **B. Report of the Naming Committee**

The President recommends approval of the University Naming Committee recommendations forwarded to the Board in a letter dated February 1, 2018.

## **PRESIDENT'S RECOMMENDATION**

The President recommends approval of the Consent Report.

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

**February 2018 Regents Meeting**

	November		Year-to-Date	
	2017	2016	07/01/17 11/30/17	07/01/16 11/30/16
<b>U of M Gift Receiving</b>	\$ 44,954	\$ 69,673	\$ 479,507	\$ 712,076
<b>4-H Foundation</b>	29,249	80,604	479,678	278,024
<b>Arboretum Foundation</b>	451,541	275,614	4,159,020	1,802,940
<b>Univ of MN Foundation</b>	21,051,409	17,749,366	124,828,890	103,736,755
<b>Total Gift Activity</b>	\$ 21,577,153	\$ 18,175,257	\$129,947,095	\$106,529,795

\*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 November 2017

<u>Donor</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<b><u>\$1 Million and Over</u></b>		
Ames Construction Inc.	Pledge	Intercollegiate Athletics
<b><u>\$500,000 - \$1,000,000</u></b>		
Richard M. Schulze Family Fdn.	Gift	Various Colleges
Bennett and Sharon Morgan Fund-Fidelity Charitable	Gift	Carlson School of Management
Katherine A. and Gregory J. Nelson	Pledge	College of Food, Agricultural and Natural Resource Sciences
Killebrew-Thompson Memorial	Gift	Academic Health Center
<b><u>\$250,000 - \$500,000</u></b>		
Bruce W. Cooper Estate	Gift	Medical School
Robert H. Putnam Estate	Gift	College of Liberal Arts
Amy R. and Philip S. Goldman Fdn.	Pledge	Medical School
Josephine Vivian Estate	Gift	University of Minnesota Duluth
KAHR Foundation	Gift	School of Nursing
<b><u>\$100,000 - \$250,000</u></b>		
Frederick B. Wells Jr. Trust	Gift	Medical School
Helen Lindsay Family Foundation	Gift	Medical School
Broucker Services Inc.	Gift	Medical School
The Hormel Foundation	Gift	Hormel Institute
Marvin E. and Miriam R. Goldberg Fdn.	Gift	Academic Health Center, College of Education and Human Development, School of Dentistry
Robert A. Engelke	Gift/Pledge	Law School, Carlson School of Management
Dennis and Pamela Schulstad	Pledge	College of Liberal Arts
Lurie LLP	Pledge	Carlson School of Management
Anonymous	Gift	College of Science and Engineering
Irving Harris Fdn.	Gift	College of Education and Human Development
Medtronic Inc.	Gift	Undesignated, Medical School, College of Science and Engineering
Joan L. Shapiro Estate	Gift	Medical School
Warren F. Davis	Gift	University of Minnesota Duluth
Charles G. and Kathryn M. Cunningham	Gift	Undesignated

**\$100,000 - \$250,000**

Anonymous	Gift	Medical School, Academic Health Center
Bezos Family Foundation	Gift	College of Education and Human Development
Sara and Jock Donaldson	Pledge	Carlson School of Management
David D. and Peggy E. Lucas	Gift	Undesignated
Gregor Moe Fund of Fidelity Charitable	Gift	Medical School
Karen Nelson Hoyle Charitable Fund	Gift	Libraries
Marjorie Brandt	Gift	Medical School
Robert and Sara Lumpkins DAF-Stanford Univ.	Gift	Minnesota Landscape Arboretum
S. S. Crump and L. H. Crump Charitable Fund	Gift	Carlson School of Management
William B. Smith	Pledge	Intercollegiate Athletics

**\$50,000 - \$100,000**

Joseph and Mary Buska	Pledge	Intercollegiate Athletics
Conrad I. Karleen and Ruth V. Karleen Charitable Trust	Gift	Medical School
Two Blades Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences
Chainbreaker	Gift	Cancer Research
Supervalu Inc.	Gift	Academic Health Center, College of Science and Engineering
Land O'Lakes Inc.	Pledge	College of Veterinary Medicine
Newman's Own Foundation	Gift	Carlson School of Management
Patrick R. Scott	Pledge	College of Liberal Arts
Kent and Karen Sieffert	Pledge	Intercollegiate Athletics
3M Co.	Gift	School of Public Health, College of Science and Engineering
Goyo Paper Working Co. Ltd	Gift	College of Science and Engineering
Yoshi Tani	Gift	Medical School
Thia Breen and Laurie Dowley	Gift	Carlson School of Management
Ann B. Waltner	Gift	College of Liberal Arts
Christopher Barnes	Pledge	Medical School
Curtis L. and Sandra L. Larson Fund-American Endowed Fund	Gift	University of Minnesota Morris
Eileen B. Siegel Estate	Gift	College of Liberal Arts
Judith K. Conrad and James E. Stai	Pledge	College of Liberal Arts
Katherine B. Andersen Fund-St. Paul Fdn.	Gift	College of Veterinary Medicine
Marvin and Betty Borman Foundation	Gift	Intercollegiate Athletics
Paul Martin Fund	Gift	Intercollegiate Athletics

**\$50,000 - \$100,000**

The Hinman Foundation	Gift	Carlson School of Management
Valdemar J. Olson	Pledge	Carlson School of Management, College of Education and Human Development

**\$25,000 - \$50,000**

Alyssa and John Feroldi	Gift	Academic Health Center
General Mills Inc.	Gift	Carlson School of Management, Undesignated
Phyllis B. Branin	Gift	College of Science and Engineering
Barrie Froseth and Maeve Murphy	Gift	College of Food, Agricultural and Natural Resource Sciences
PTC Inc.	Gift	College of Science and Engineering
Van Sloun Foundation	Gift	College of Veterinary Medicine
Eddy Fdn. Charitable Trust U/W	Gift	University of Minnesota Duluth
Lester R. Drewes	Gift	University of Minnesota Duluth
General Mills Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences, Unrestricted
David K. and Beverly B. Wickstrom	Gift	University of Minnesota Duluth
American Chemistry Council	Gift	College of Pharmacy
Carole J. Larson	Gift	College of Liberal Arts, College of Veterinary Medicine
Marcia B. Kulick Estate	Gift	University of Minnesota Duluth
Alton W. Hitts Estate	Gift	Minnesota Landscape Arboretum
Robert D. DeMaster	Gift	College of Science and Engineering
Anonymous	Gift	College of Design
Frederick E. and Susan J. Kaiser	Pledge	Intercollegiate Athletics
James H. Barthel and Victoria M. Elmer	Gift	Intercollegiate Athletics
Mary Dolan Restricted Family Fund-Longview Fdn.	Gift	College of Liberal Arts, College of Food, Agricultural and Natural Resource Sciences
Qiaqia Foods	Gift	Carlson School of Management
S Bartley Osborn Family Charitable Trust	Gift	Intercollegiate Athletics
Elizabeth M. Bennett	Gift	Medical School
Gary and Londa Tushie	Gift	College of Design
York Potash Limited	Gift	College of Food, Agricultural and Natural Resource Sciences
Priscilla J. Hawkinson	Gift	School of Nursing
Brian J. Osberg and Jean Marie Hamilton	Gift	School of Public Health

**\$25,000 - \$50,000**

Kerriane Blevins and Michael Walstrom	Pledge	Humphrey School of Public Affairs
Richard W. and Jean Illsey Clarke Fund-Mpls Fdn.	Gift	College of Science and Engineering
Alice Warren Gaarden Fund-Mpls Fdn.	Gift	College of Science and Engineering
Gary and Marcia Krasicky	Gift	University of Minnesota Morris
Robert E. Greiling Jr.	Gift	College of Science and Engineering
William J. Vidmar Estate	Gift	College of Pharmacy
Alekha and Smita Dash	Pledge	College of Pharmacy
Amber and Ross Determan	Pledge	School of Dentistry
Charles Ringness	Gift	Weisman Art Museum
Donald L. and Patricia A. Garofalo	Gift	Medical School
Dorothy B. Welch	Pledge	College of Education and Human Development
Gary B. Silberstein	Gift	College of Biological Sciences
Huron Consulting Services LLC	Gift	Carlson School of Management
Kenton E. Spading	Pledge	College of Science and Engineering
Mary Jo Erickson	Pledge	College of Education and Human Development
Matthew P. Dinusson	Pledge	College of Science and Engineering
Melody E. Jewell	Pledge	Scholarships
Naomi L. Lane	Gift	School of Dentistry
Oren and Sharron Steinfeldt Fdn.	Gift	Libraries
Patrick G. Hays	Gift	School of Public Health
Procter and Gamble Co.	Gift	College of Science and Engineering
Robert J. Buck and Cheryl L. Quinn	Gift	College of Biological Sciences
Securian Financial Group	Gift	Carlson School of Management
Sleep Number Corp.	Gift	College of Science and Engineering
The Schulze Family Foundation	Gift	College of Veterinary Medicine
Torgerson Family Fdn.	Gift	University of Minnesota Morris
Total American Services Inc.	Gift	College of Science and Engineering
WEM Fdn.	Gift	Minnesota Landscape Arboretum

**\$10,000 - \$25,000**

Bertha A. Lewis Estate	Gift	College of Science and Engineering
Arvid Olson Estate	Gift	Medical School
Alice M. O'Brien Fdn.	Gift	College of Science and Engineering
Franck L. Gougeon	Gift	Academic Health Center
Eileen M. Baumgartner	Gift	Humphrey School of Public Affairs
Marguerite Henry Family Trust	Gift	College of Education and Human Development
David S. and Phyllis R. M. Cannom	Gift	Medical School

**\$10,000 - \$25,000**

Cindy F. Silianoff	Gift	Intercollegiate Athletics, School of Public Health
Chien Heng Wu	Gift	College of Science and Engineering
Cornelius W. Wiens	Gift	Medicine and Health, School of Nursing
Dorothy A. Marden	Gift	College of Science and Engineering
For the Love of Pete	Gift	Medical School
Jeffrey and Mary Werbalowsky Philanthropic Fund	Gift	Institute on the Environment
Ralph D. Ebbott	Gift	Medical School
University of Minnesota Physicians	Gift	Medical School
William A. Hodder	Gift	Carlson School of Management
Mona Langguth Walz	Gift	College of Education and Human Development
Xcel Energy Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences
David E. Feinberg	Gift	College of Science and Engineering
XingXiang Shengda Filtration Tech Co.	Gift	College of Science and Engineering
Patricia A. Lyon Charitable Fund-Schwab Charitable	Gift	Intercollegiate Athletics
Ciresi and Conlin LLP	Gift	Graduate School
Catherine L. and John H. Agee	Gift	Medical School, Northrop
Arthur G. and Mary Jo Erdman	Gift	College of Science and Engineering
Bjorn K. Monson Sr. and Margot Monson	Pledge	College of Food, Agricultural and Natural Resource Sciences
Brian R. Williams	Gift	University of Minnesota Morris
Ecolab Inc.	Gift	Carlson School of Management
Epstein Funeral Directors Inc.	Gift	Medical School
LeeAnn M. and Jeffrey M. Ettinger	Gift	Carlson School of Management, College of Education and Human Development, College of Liberal Arts
Mary Anne Ebert and Paul Stembler	Gift	University of Minnesota Duluth
Rachel S. Brass	Pledge	Law School
Shaky Putter Golf Benefit	Gift	Medical School
Sheila J. McNally Estate	Gift	College of Liberal Arts
The Luther Family Foundation	Gift	Medical School
US Bank National Assn.	Gift	Carlson School of Management
Spinal Cord Society	Gift	Medical School
Minnesota Veterans for Progress	Gift	University of Minnesota Duluth
Paparella Family Foundation	Gift	Medical School
John E. and Nancy E. Lindahl	Gift	Intercollegiate Athletics
Dead Sea Works Ltd	Gift	College of Food, Agricultural and Natural Resource Sciences
Donna M. Anderson	Gift	School of Public Health

**\$10,000 - \$25,000**

Thomas E. and Dorothy J. Ferguson	Gift	University of Minnesota Duluth
Laura M. Newinski	Gift	Carlson School of Management
Jenny and Bob Verner	Gift	Minnesota Landscape Arboretum
Mary E. Talmage	Gift	Academic Health Center
Sally A. Callahan	Gift	Intercollegiate Athletics
Robert J. and Virginia S. McCollister	Gift	Libraries
David C. and Martha M. Anderson	Gift	Intercollegiate Athletics
Mary Moon Foundation Inc.	Gift	Academic Health Center
Richard J. and Patricia L. Kirschner	Gift	College of Biological Sciences
Sundet Foundation	Gift	College of Veterinary Medicine
Johanna Frerichs Gift Fund-Schwab Charitable	Gift	Minnesota Landscape Arboretum
Pachuta Family Fund at Fidelity Charitable	Gift	Intercollegiate Athletics
Katherine D. Doerr	Gift	Minnesota Landscape Arboretum
Roger P. and Maureen H. Parkinson	Gift	Humphrey School of Public Affairs
Robert N. and Irene J. Gale	Gift	College of Pharmacy
Janet Thome	Gift	College of Food, Agricultural and Natural Resource Sciences
Joan E. Semmer	Gift	Medical School
Arthur T. Erickson Charitable Fdn. Trust	Gift	Minnesota Landscape Arboretum
Buuck Family Fdn.	Gift	Minnesota Landscape Arboretum
C. and A. Policinski Charitable Fund-MN Comm. Fdn.	Gift	Unrestricted
Cargill Salt	Pledge	Carlson School of Management
Craig A. and Mary F. Alshouse	Gift	Intercollegiate Athletics
Dana R. Lonn	Gift	College of Science and Engineering
Donaldson Co. Inc.	Gift	Carlson School of Management
Donn R. Armstrong	Gift	College of Science and Engineering
Eleanor and Fred Winston Fund-Longview Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences
Finnegan Charitable Fund-Schwab Charitable	Gift	School of Public Health
Gary A. Rooney	Gift	Intercollegiate Athletics
Heins-Mills Family Fund of the Minneapolis Fdn.	Gift	Medical School
Hormel Foods Corp. Charitable Trust	Pledge	Carlson School of Management, College of Liberal Arts
James A. Rice	Gift	School of Public Health
James L. Comadoll	Pledge	Medical School
John A. Bruce Estate	Gift	College of Liberal Arts
John J. Hunt Jr. and Rita M. Hunt	Gift	University of Minnesota Rochester
Jon and Beverly Holt	Gift	Intercollegiate Athletics

**\$10,000 - \$25,000**

Justin McHugh	Gift	Intercollegiate Athletics
Kathleen G. Dineen Estate	Gift	School of Nursing
Marcelo E. Montero	Gift	Carlson School of Management
Margaret Telfer	Pledge	Libraries
Marvin Windows and Doors	Gift	Carlson School of Management
Midwest Food Processors Assn.	Gift	College of Food, Agricultural and Natural Resource Sciences
Pamela S. Olson	Gift	Academic Health Center
Pathways to Children Foundation	Gift	School of Public Health
Pfizer Fdn.	Pledge	College of Biological Sciences
Richard N. and Carol C. Flint	Gift	University of Minnesota Duluth
Robert L. and Pamela W. Senkler	Gift	University of Minnesota Duluth
Robin J. and Craig R. Dahl	Gift	Academic Health Center
Rodney H. Forristall	Gift	Minnesota Landscape Arboretum
Roger and Nancy McCabe Fdn.	Gift	Minnesota Landscape Arboretum
Stephen A. and Gail J. Craine	Gift	Intercollegiate Athletics
Steven D. and Margot B. J. Roberts	Gift	College of Veterinary Medicine
Tankenoff Families Fdn.	Gift	Medical School
The Coyne Family Fund at Renaissance Charitable Fdn.	Gift	College of Veterinary Medicine
The Dow Chemical Co.	Gift	College of Science and Engineering
Venture Bank	Gift	Carlson School of Management
Wah-Hui Chu	Gift	College of Food, Agricultural and Natural Resource Sciences
William R. Pritchard	Gift	College of Veterinary Medicine

**\$5,000 - \$10,000**

Emily C. Anderson	Gift	School of Nursing
Molly and David Clark Charitable Fund- American Endowed Fdn.	Gift	Carlson School of Management
Wendy J. Wildung	Gift	College of Liberal Arts, College of Veterinary Medicine, Unrestricted
Syvilla M. Turbis Estate	Gift	Medical School, Academic Health Center
TCF Foundation	Pledge	Various Colleges
The Boeing Co.	Gift/Pledge	Scholarships, Carlson School of Management
Stacy D. Rubsam and Elizabeth F. Draxten	Gift	Carlson School of Management
William C. Pettit Jr.	Gift	Intercollegiate Athletics
Joseph M. Terry	Gift	Medical School
MN Soybean Research and Promotion Council	Gift	College of Food, Agricultural and Natural Resource Sciences

**\$5,000 - \$10,000**

Walgreens Co.	Gift	College of Pharmacy
Willis and Dorothy Peterson Fund-Fidelity Charitable	Gift	College of Food, Agricultural and Natural Resource Sciences
Ted M. Pass	Gift	Scholarships
Johnson and Johnson	Pledge	Intercollegiate Athletics
Kristin and Karl Bennett	Gift	College of Science and Engineering, School of Nursing, School of Public Health
James L. Johnston	Gift	College of Veterinary Medicine
KPMG Foundation	Pledge	Carlson School of Management
Monarch Butterfly Fund	Gift	University of Minnesota Extension
John D. Werner	Gift	Graduate School
Julie C. Moller Sanford Estate	Gift	Medical School
Catherine E. Braun	Gift	Scholarships
Young Athletes Fdn.	Pledge	University of Minnesota Duluth
Jane E. Braun	Gift	Scholarships
William R. Braun	Gift	Scholarships
Irene M. Ott	Gift	College of Education and Human Development
Brian K. Slipka	Gift	Intercollegiate Athletics
Marianne Barnett and Shari Ballard	Gift	College of Continuing and Professional Studies
Prachi Agarwala	Gift	Academic Health Center
The Gladys Kriebel Delmas Foundation	Gift	College of Liberal Arts
Betty Goetz Lall Estate	Gift	Humphrey School of Public Affairs
Bradley A. and Arlene T. Forrest	Gift	Law School, College of Science and Engineering, School of Nursing
David J. Borchert	Gift	College of Liberal Arts
ExxonMobil Corp.	Gift/Pledge	College of Science and Engineering, Humphrey School of Public Affairs
The Longview Foundation	Gift	Minnesota Landscape Arboretum, Northrop
Lisa Huey	Gift	College of Education and Human Development
Robert K. Eddy	Gift	Intercollegiate Athletics
iHeartMedia Management Services Inc.- Radio	Gift	Academic Health Center
GE Fdn.	Pledge	Various Colleges
David E. Drinkwater	Gift	Various Colleges
Duluth-Superior Area Community Fdn.	Gift	University of Minnesota Duluth
Katherine D. Nielsen	Gift	College of Veterinary Medicine
Principial Financial Group Fdn. Inc.	Pledge	Intercollegiate Athletics
Rosario A. Perrelli	Gift	Academic Health Center

**\$5,000 - \$10,000**

Sherry A. Oleson	Gift	College of Food, Agricultural and Natural Resource Sciences
Stephen E. Kairies	Gift	Academic Health Center, Medical School
The Crutchfield Dermatology Fdn.	Gift	Medical School
3M Fdn. Inc.	Pledge	Various Colleges
Ardes M. Johnson	Gift	College of Liberal Arts
Jay A. Austin and Elizabeth C. Austin-Minor	Gift	University of Minnesota Duluth
Minnesota Corn Growers Assn.	Gift	College of Food, Agricultural and Natural Resource Sciences, University of Minnesota Extension
Ronald and Lynn Margolis	Gift	College of Design
Clifford D. and Carol Stiles	Gift	Global Programs and Strategy Alliance
Philip D. Rolle	Gift	University of Minnesota Duluth
Misha Burich	Gift	College of Science and Engineering
Securian Fdn.	Pledge	University of Minnesota Duluth
DonateWell	Gift	Various Colleges
Camille F. Kundel and Ni Tran	Gift	College of Pharmacy
Elizabeth E. Flynn-Ferry	Gift	Carlson School of Management
Peter D. Ackroyd and Joan Alworth	Gift	University of Minnesota Duluth
Northwestern Mutual Fdn.	Pledge	Carlson School of Management, College of Liberal Arts
Mississippi Market Natural Foods Co-op	Gift	College of Food, Agricultural and Natural Resource Sciences
DuWayne M. and Kay M. Witt	Gift	Intercollegiate Athletics
Todd R. Wagner	Gift	Minnesota Landscape Arboretum
Adam C. Lyche and Deborah L. Pierson	Gift	College of Science and Engineering
Alan R. Johnston	Gift	Minnesota Landscape Arboretum
Allen S. and Nancy J. Levine	Gift	College of Food, Agricultural and Natural Resource Sciences
Amy Jean Knorr Trust	Gift	College of Education and Human Development, College of Food, Agricultural and Natural Resource Sciences
Angela V. Ross	Gift	School of Dentistry
Ann Englund	Gift	Academic Health Center
Anonymous	Gift	College of Food, Agricultural and Natural Resource Sciences
Armstrong Family Fdn.-Fidelity Charitable	Gift	Carlson School of Management
Bakken Family WRC Foundation	Gift	Intercollegiate Athletics
Betty J. Hahn	Gift	Minnesota Landscape Arboretum

**\$5,000 - \$10,000**

Bill and Nancy Stemper	Gift	College of Food, Agricultural and Natural Resource Sciences
Blythe A. Brenden	Gift	Academic Health Center
Carl E. and Doris M. Bachman Family Fdn.	Gift	Minnesota Landscape Arboretum
Charlotte Polich	Gift	Academic Health Center
Christine Kraft and Nelson Capes	Gift	College of Food, Agricultural and Natural Resource Sciences
Christopher Ljungkull	Gift	College of Veterinary Medicine
City of Minneapolis	Gift	Carlson School of Management
Corn Capital Innovations	Gift	4H Foundation
CVS Health Foundation	Gift	School of Nursing
Dave and Jodi Dent Family Fund-Mpls Fdn.	Gift	Carlson School of Management
David and Rosemary Emmons	Gift	College of Veterinary Medicine
David J. Olive	Gift	College of Liberal Arts
DENSO International America Inc.	Gift	University of Minnesota Duluth
Donald H. Craighead	Gift	College of Science and Engineering
Doris K. Pang	Gift	College of Science and Engineering
Elisabeth A. Lucas	Gift	Weisman Art Museum
Elisabeth O. Emerson Estate	Gift	College of Food, Agricultural and Natural Resource Sciences
Gail V. Sit	Gift	Medical School
Gull Chain of Lakes Association	Gift	College of Food, Agricultural and Natural Resource Sciences
Helen Laird and Vanessa Laird Donor Advised Fund	Gift	School of Nursing
Heppelmann Wacek Charitable Fund-Schwab Charitable Fund	Gift	College of Science and Engineering
James B. Togeas	Gift	University of Minnesota Morris
James D. Rogers	Gift	College of Veterinary Medicine, Eastcliff, Law School
James R. Monteiro	Gift	University of Minnesota Duluth
Jeanne W. and Allan C. Collins	Gift	College of Biological Sciences
John J. Keller	Gift	School of Dentistry
John Knutson	Gift	Unrestricted
John M. Simpson	Gift	College of Liberal Arts
John N. Schwartz Charitable Fund-Schwab Charitable	Gift	School of Public Health
John S. Penshorn	Gift	Carlson School of Management
Judson K. Champlin	Gift	College of Science and Engineering
Julie E. Oswald Family Trust-Fidelity Charitable	Gift	Center for Spirituality and Healing

**\$5,000 - \$10,000**

June S. Cavert	Gift	Medical School
Katherine P. Crosby	Gift	Minnesota Landscape Arboretum
Kimberly and John Hogan	Gift	College of Veterinary Medicine
Laura H. Goetz	Gift	School of Public Health
Louise Fester Trust	Gift	Academic Health Center
Lumina Foundation	Gift	Scholarships
Malcolm-Carlson Fund-Women's Fdn. of MN	Gift	School of Public Health
Mall of America	Gift	Carlson School of Management
Mark S. Umbreit	Gift	College of Education and Human Development
Marlene M. Johnson	Pledge	Weisman Art Museum
Martin A. Segal	Gift	Medical School
McFarland Family Fund-Mpls Fdn.	Gift	Minnesota Landscape Arboretum
McGough Construction Co LLC	Gift	Scholarships
Nancy L. Saathoff	Gift	College of Veterinary Medicine
Nathaniel D. Diedrich	Gift	Scholarships
National Student Leadership Fdn.	Gift	Law School
Northrop Grumman Fdn.	Pledge	Scholarships
Paul J. Jungquist	Gift	Carlson School of Management
Renata R. Winsor	Gift	Minnesota Landscape Arboretum
Robert and Gail Toftey Charitable Donation Fund	Gift	University of Minnesota Duluth
Robert L Stableski Family Charitable Fund- Schwab Charitable	Gift	Global Programs and Strategy Alliance, College of Liberal Arts
Rolland E. and I. Jean Glessing	Gift	Carlson School of Management
Russell V. Luepker	Gift	School of Public Health
Stephen Catalano	Gift	Scholarships
Steven C. Aanenson	Gift	College of Science and Engineering, Medical School
The Baseline Club Inc.	Gift	Intercollegiate Athletics
The Levie / Cohen Family Philanthropic Fund	Gift	Medical School
The McKnight Fdn.	Gift	Humphrey School of Public Affairs
Thomas C. Velin	Gift	Intercollegiate Athletics
Thomas E. Becker	Gift	College of Veterinary Medicine
Thomas E. Boman	Gift	Medical School
Thomas P. and Diane K. Lentz	Gift	College of Science and Engineering
Tom Burnett Family Fdn. - Fidelity Charitable	Gift	Student Engagement and Leadership
Tom Hayes	Gift	Minnesota Landscape Arboretum
William E. Kuhn	Gift	College of Food, Agricultural and Natural Resource Sciences

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

**February 2018 Regents Meeting**

	December		Year-to-Date	
	2017	2016	07/01/17 12/31/17	07/01/16 12/31/16
<b>U of M Gift Receiving</b>	\$ 862,166	\$ 261,863	\$ 1,341,674	\$ 973,939
<b>4-H Foundation</b>	407,889	167,704	887,567	445,729
<b>Arboretum Foundation</b>	15,004,176	737,014	19,163,196	2,539,954
<b>Univ of MN Foundation</b>	36,304,425	53,125,264	161,133,314	156,862,019
<b>Total Gift Activity</b>	<b>\$ 52,578,656</b>	<b>\$ 54,291,845</b>	<b>\$182,525,751</b>	<b>\$160,821,641</b>

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

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

## Gifts to benefit the University of Minnesota

### Gifts received in December 2017

<u>Donor</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<b><u>\$1 Million and Over</u></b>		
Alfred Harrison and Ingrid Lenz Harrison	Gift	Minnesota Landscape Arboretum
The Hormel Fdn.	Gift	Hormel Institute
Anonymous	Gift/Pledge	Medical School
<b><u>\$500,000 - \$1,000,000</u></b>		
Kidz1stFund	Gift	Medical School
Charles and Ellora Alliss Educational Fdn.	Gift	Scholarships
Jean E. Carlin Estate	Gift	College of Liberal Arts, Medicine and Health
Wyona R. Bartsch Estate	Gift	College of Science and Engineering, School of Nursing
Cargill Fdn.	Pledge	Minnesota Landscape Arboretum
<b><u>\$250,000 - \$500,000</u></b>		
Land O'Lakes Fdn.	Gift	College of Science and Engineering
Lowell Schwab and Rae Carter	Gift	Undesignated
Intercomp Co.	Pledge	Intercollegiate Athletics
The McKnight Fdn.	Gift	Various Colleges
Peltier Trust of the MN Comm. Fdn.	Gift	Intercollegiate Athletics
Regis Fdn. for Breast Cancer Research	Gift	Academic Health Center
Robert B. Henton Residuary Trust	Gift	College of Food, Agricultural and Natural Resource Sciences
Eugene B. Hayden Jr. Estate	Gift	College of Food, Agricultural and Natural Resource Sciences, School of Nursing
Joan E. Semmer	Pledge	Medical School
Anonymous	Gift	College of Liberal Arts
Tawani Fdn.	Gift	Libraries
Land O'Lakes Inc.	Gift/Pledge	Minnesota Landscape Arboretum, Carlson School of Management
The Wallin Fdn.	Gift	Medical School
Beatrice E. Robinson and Walter E. Sawicki	Pledge	Medical School
David and Janis Larson Fdn.	Gift	College of Liberal Arts
Mary C. and Armeane M. Choksi	Pledge	College of Liberal Arts

**\$100,000 - \$250,000**

Wallin Fdn.-Schwab Charitable Fund	Gift	Medical School
Gloria L. Hayden Estate	Gift	College of Food, Agricultural and Natural Resource Sciences, School of Nursing
Carlson Family Fdn.	Gift/Pledge	Carlson School of Management
Wayland E. Noland	Gift	College of Science and Engineering
Anonymous	Gift	Carlson School of Management
Richard H. and Susan K. Anderson	Pledge	Minnesota Landscape Arboretum
Sharon B. Weinel Trust	Gift	College of Science and Engineering
W. M. Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences
James G. Boulger Sr.	Gift	Medical School, University of Minnesota Duluth
Eloise and Carl Pohlad Fund-Signature Fund Mpls Fdn.	Gift	Medical School
Derry Ann Moritz Estate	Gift	School of Nursing, Center for Spirituality and Healing
Kathleen M. Hallinan Estate	Gift	Medical School
Ilo E. and Peggy W. Leppik	Gift	College of Pharmacy
Thomas L. and Sharon L. Auth	Gift	Carlson School of Management
Brian E. Engdahl and Raina E. Eberly	Gift	Medical School, College of Liberal Arts
The Bush Fdn.	Gift	Carlson School of Management, University of Minnesota Duluth
Frank J. and Eleanor A. Maslowski Charitable Trust	Gift	Medical School
TransMedics Inc.	Gift	Medical School
Cynthia A. and Charles J. Clanton	Pledge	4H Foundation
Insurance Studies Institute	Gift	Academic Health Center
Malcolm S. McDonald	Gift	Carlson School of Management
Andersen Book Trust	Gift	Libraries, Minnesota Landscape Arboretum
John and Diane Houle	Gift	Carlson School of Management
Steven G. Hentges	Gift/Pledge	College of Science and Engineering
Achieving Cures Together	Gift	Medical School
Victoria K. Veach Estate	Gift	College of Science and Engineering
Nicholas Skrowaczewski	Gift	Libraries
Paul Sebastien	Gift	Libraries
Mark P. and Jill M. Feriancek	Gift	Carlson School of Management
Arne M. and Ruth M. Sorenson	Pledge	Law School
Buckner Family Fdn.	Pledge	Minnesota Landscape Arboretum
Charlotte H. and Lanny D. Schmidt	Gift	College of Science and Engineering

**\$100,000 - \$250,000**

Emerald Fdn. Inc.	Gift	College of Education and Human Development
Herc-U-Lift Inc.	Gift	University of Minnesota Crookston
Humor to Fight the Tumor Fdn.	Gift	Academic Health Center
James W. Hansen	Gift	College of Education and Human Development
Kathleen A. and Leslie A. Tune	Pledge	Carlson School of Management
Lili Hall Scarpa and Andrea Scarpa	Gift	Carlson School of Management
Love Your Melon Inc.	Gift	Medical School
Lucy B. Rorke-Adams and C. Harry Knowles	Gift	Medical School
Nick Chandler	Gift	Medical School
Susan J. Sands	Pledge	Carlson School of Management

**\$50,000 - \$100,000**

Richard S. and Delores J. Olson	Gift	College of Veterinary Medicine
Gary L. and Marcia L. Doty	Gift	University of Minnesota Duluth
Rodney L. and Judith L. Cooperman	Gift	Medical School
3M Fdn. Inc.	Gift/Pledge	Various Colleges
Leland W. Annett	Gift	Carlson School of Management, College of Science and Engineering, College of Veterinary Medicine
Russell J. Penrose	Pledge	College of Science and Engineering
Clear Creek Fdn.	Pledge	Carlson School of Management
Arvid Olson Estate	Gift	Medical School
Abbott Fund	Gift	Intercollegiate Athletics
Gary R. Dowling	Gift	College of Science and Engineering
Michael and Cheryl Abramson	Gift	University of Minnesota Duluth
Janet and Kenneth Talle	Gift	College of Liberal Arts
Mark R. Parenteau	Gift	University of Minnesota Duluth
Adobe Systems Inc.	Gift	Carlson School of Management, College of Science and Engineering
Julie C. Moller Sanford Estate	Gift	Medical School
Robert H. Wilder Jr.	Gift	College of Veterinary Medicine
Toray Industries Inc.	Gift	College of Science and Engineering
Anonymous	Gift	Intercollegiate Athletics, College of Liberal Arts
Richard J. Helvig and Sheryl J. Harapat	Gift	Carlson School of Management, College of Science and Engineering
Stephen F. Befort and Anne T. Johnson	Gift	Law School
Linda Wilson	Gift	University of Minnesota Morris
Robert D. Potts	Gift	College of Education and Human Development

**\$50,000 - \$100,000**

Kalsec Inc.	Gift	College of Food, Agricultural and Natural Resource Sciences
Jennifer L. Martin	Gift	College of Food, Agricultural and Natural Resource Sciences
Alva W. Emerson	Pledge	College of Liberal Arts, School of Public Health
Douglas and Jane Gorence	Pledge	College of Liberal Arts
Andrea Hricko Hjelm and Kenneth E. Hjelm	Gift	College of Education and Human Development
Jane A. Starr	Gift	Academic Health Center, Medical School, College of Liberal Arts
Norman P. Bjornnes Jr. and Constance Bjornnes	Pledge	Carlson School of Management
A G L Consulting Ltd	Gift	College of Science and Engineering
Albert Lea Seed House Inc.	Pledge	University of Minnesota Crookston
Andrew R. McFarland	Gift	College of Science and Engineering
Anonymous	Gift	College of Liberal Arts
Bergren Family Fdn. of the Mpls Fdn.	Gift	Minnesota Landscape Arboretum
Bernard D. Paul	Gift	Academic Health Center, College of Science and Engineering
Clifford M. Phibbs Jr. and Patricia Phibbs	Gift	Intercollegiate Athletics
Elizabeth A. Roth	Pledge	Humphrey School of Public Affairs
James J. Luby and Emily E. Hoover	Gift	College of Food, Agricultural and Natural Resource Sciences
Katherine B. Andersen Fund-St. Paul Fdn.	Gift	College of Veterinary Medicine
Laura L. and Jonathon H. Bloomberg	Pledge	Humphrey School of Public Affairs
Luke and Lori Morrow Family Fdn.-US Trust	Gift	Medical School
M. Berman and D. Cowan Charitable Trust-Bank of America	Gift	University of Minnesota Duluth
Maywood Inc.	Gift	University of Minnesota Crookston
Mervin F. and Melissa F. R. Larson	Pledge	Intercollegiate Athletics
PIC USA Inc.	Pledge	College of Veterinary Medicine
Roberta J. Vose	Pledge	University of Minnesota Duluth
Steven W. Johnston	Pledge	Carlson School of Management, College of Food, Agricultural and Natural Resource Sciences
Susan and Richard Anderson Family Fund	Gift	Minnesota Landscape Arboretum
William R. Tempest	Pledge	Law School

**\$25,000 - \$50,000**

Marilyn E. Erickson Estate	Gift	Minnesota Landscape Arboretum
Minnesota Corn Growers Assn.	Gift	4H Foundation
T. Denny Sanford	Gift	Intercollegiate Athletics
Ruth M. Rademacher Estate	Gift	Undesignated
The K Fdn.	Gift	Various Colleges
Terrance E. Swor	Gift	University of Minnesota Duluth
XingXiang Shengda Filtration Tech Co.	Gift	College of Science and Engineering
Darby M. and Geraldine M. Nelson	Gift	College of Biological Sciences
Steven Eilertson and Cynthia Huntington	Gift	Carlson School of Management
General Mills Inc.	Gift	Intercollegiate Athletics
Ephraim M. Sparrow	Gift	College of Science and Engineering
Paul F. and Janet F. Engstrom	Gift	Scholarships
Benjamin F. Nelson Estate	Gift	Medical School
Gary A. Reineccius	Gift	College of Food, Agricultural and Natural Resource Sciences
June Stern Family Fdn.	Gift	College of Education and Human Development
3M Co.	Gift	College of Science and Engineering, College of Veterinary Medicine
John E Andrus III 2009 CLAT	Gift	Minnesota Landscape Arboretum, College of Liberal Arts
Helen S. Henton Trust	Gift	Unrestricted
Hinda B. Litman	Gift	Academic Health Center
Hayes Fund of HRK Fdn.	Gift	Medical School
Christie S. Heikes and Andrew F. Arthur	Gift	Intercollegiate Athletics
JMT Charitable Lead Trust	Gift	Medical School
John and Jean Geisler Fund-Minneapolis Fdn.	Gift	Minnesota Landscape Arboretum
LaVerne I. Colness	Gift	University of Minnesota Duluth
Marvin L. Ballard	Gift	College of Science and Engineering
Robert O. Pepin	Gift	College of Science and Engineering
Dorothy A. Patterson Estate	Gift	Medical School
York Potash Limited	Gift	College of Food, Agricultural and Natural Resource Sciences
Paula and William Bernstein Family Fdn.	Gift	Medical School
The Helena Fdn.	Gift	College of Science and Engineering
Accenture LLP	Gift	Carlson School of Management
Clara J. Ohr	Pledge	Law School
Frank and Beth Kiesner	Pledge	Intercollegiate Athletics
Goulder Family Fdn.	Gift	Intercollegiate Athletics
Joseph Tashjian and Kay Savik	Gift	Minnesota Landscape Arboretum

**\$25,000 - \$50,000**

Lester Building Systems LLC	Gift	4H Foundation
Lucy and Bob Mitchell-The Longview Fdn.	Gift	College of Liberal Arts, College of Food, Agricultural and Natural Resource Sciences
Timothy S. Mowbray	Pledge	University of Minnesota Duluth
Rae Carter and Lowell Schwab	Gift	Intercollegiate Athletics
Randall C. and Marcia H. Betcher	Gift	Medical School, Minnesota Landscape Arboretum
Richard A. and Mary Jo M. Eastes	Gift	University of Minnesota Crookston
Timothy P. and Jane M. Lundberg	Gift	Carlson School of Management
Isanti County Sportsman's Club	Gift	4H Foundation
Medica	Gift	Business and Community Economic Development
Evelyn M. Anderson	Gift	University of Minnesota Duluth
Alan C. and Constance M. Kotula	Gift	University of Minnesota Duluth
Eric W. Kaler	Gift	Scholarships
Gary J. Ray	Gift	Hormel Institute
Anonymous	Pledge	College of Education and Human Development
Roach Family Fund of Fidelity Charitable	Gift	College of Liberal Arts
The Duane Rost Fund	Gift	Medical School
Eileen M. Donaghy	Gift	Intercollegiate Athletics
Glen F. and Carol S. Fuerstneau	Gift	College of Education and Human Development
Jim Winter	Pledge	University of Minnesota Morris
Elaine E. Villafana	Gift	Minnesota Landscape Arboretum
Roger P. and Joan L. Boleman	Pledge	University of Minnesota Morris
Alice King Moormann	Pledge	College of Education and Human Development
A I A Northern Minnesota	Gift	College of Design
Adam and Emily Bachman	Pledge	Minnesota Landscape Arboretum
AgCountry Farm Credit Services	Gift	4H Foundation
Alport Syndrome Fdn. Inc.	Gift	Medical School
Amy J. Sehnert and Paul J. Wolters	Pledge	Medical School
Anonymous	Gift	Undesignated
Anonymous	Gift	Academic Health Center
Arthur A. Anderson	Pledge	Intercollegiate Athletics
BASF Fdn. USA	Gift	College of Science and Engineering
Blair and Amy Bachman	Pledge	Minnesota Landscape Arboretum
BP International	Gift	College of Science and Engineering
Brent A. Anderson	Pledge	Intercollegiate Athletics
Briese Industrial Tractor Inc.	Gift	University of Minnesota Crookston

**\$25,000 - \$50,000**

Clara L. Adams-Ender	Pledge	School of Nursing
Concordia K. Olson	Gift	Intercollegiate Athletics
Constance A. Sullivan	Gift	College of Liberal Arts
Donald F. Mowbray	Gift	University of Minnesota Duluth
Ella's Halo	Gift	Academic Health Center
Erik N. Gaasedelen	Pledge	Medical School, College of Biological Sciences, College of Pharmacy
GreMar Properties LLC	Gift	Carlson School of Management
Hans and Kathy Jorgensen	Gift	College of Veterinary Medicine
Harold and Sandra Okinow Family Philanthropic Fund	Gift	College of Food, Agricultural and Natural Resource Sciences
John and Margie Wiehoff Fdn.	Gift	Carlson School of Management
K. S. Kim Fdn.	Gift	Scholarships
K. Scott Portnoy	Pledge	Minnesota Landscape Arboretum
Kelly and John Henry	Pledge	Minnesota Landscape Arboretum
Leslie and Bryan McWhite	Pledge	Minnesota Landscape Arboretum
Nielsen's Inc.	Gift	University of Minnesota Crookston
Paul and Barbara Bachman Family Fund-Mpls Fdn.	Gift	Minnesota Landscape Arboretum
Peter H. Bachman and Janet Rice Fund-Mpls Fdn.	Gift	Minnesota Landscape Arboretum
Sea Foam Sales Co.	Gift	Minnesota Landscape Arboretum
Smaby Family Fdn.	Gift	Center for Spirituality and Healing
Stephen and Sheila Lieberman Family Phil. Fund	Gift	College of Food, Agricultural and Natural Resource Sciences
Susan and Duane Hoff Family Fdn.	Gift	Unrestricted
The ALS Association	Gift	Medical School
The Little Potato Co.	Pledge	Academic Health Center
The National MPS Society Inc.	Gift	Medical School
Vanderboom Family Charitable Fdn.-UBS Donor/Adv Fund	Gift	College of Science and Engineering, School of Nursing
William P. Kroll	Gift	Intercollegiate Athletics

**\$10,000 - \$25,000**

Sue Sjeklocha and Teri Berglund	Gift	Medical School
Center for Computer-Assisted Legal Instruction	Gift	Law School
Chainbreaker	Gift	Academic Health Center
Austrian Federal Ministry of Science and Rsch	Gift	College of Liberal Arts
Narinder K. Dhir Estate	Gift	College of Food, Agricultural and Natural Resource Sciences
Louis V. and Francine Y. Nanne	Gift	Intercollegiate Athletics

**\$10,000 - \$25,000**

Osmose	Gift	College of Science and Engineering
Cornwall Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences
Michael D. Lougee and Wendy Pradt Lougee	Gift	Libraries, Academic Health Center, 4H Foundation
Barbara O. Thode	Gift	Medical School
Warren J. Luckow	Gift	College of Science and Engineering
Robert and Megan Lambert	Pledge	College of Food, Agricultural and Natural Resource Sciences
Ceapro Inc.	Gift	College of Education and Human Development
ERJ Dining LLC	Gift	Academic Health Center
Phyllis J. Johnson Estate	Gift	Intercollegiate Athletics, Medical School
George and Barbara Barany	Gift	College of Science and Engineering
Grace Upon Grace Mooty Family Fdn.	Gift	Law School
John W. Mooty Fdn. Trust	Gift	Law School
Linda Soukup	Gift	School of Nursing
Kathleen Kay Simo	Gift	Medical School, University of Minnesota Duluth
Cathie Christie	Gift	Undesignated
Jacqueline S. Mithun	Gift	College of Education and Human Development, Law School
Bakken Family WRC Fdn.	Gift	Medical School, College of Education and Human Development, Medical School
Benjamin and Eva Rasmussen	Gift	Medical School
David W. and Kathleen F. MacLennan	Gift	Intercollegiate Athletics
Donald and Tami Zurbay	Gift	Intercollegiate Athletics
Gail N. Anderson	Gift	College of Education and Human Development
James G. and Pamela J. Aagaard	Pledge	Medical School
Jay D. Nibbe	Gift	Carlson School of Management
Johnson and Johnson	Pledge	Carlson School of Management
Lynne and Andrew Redleaf Fdn.	Gift	Medical School
Michael R. Sieben	Gift	College of Liberal Arts, Law School
Michael V. and Ann C. Ciresi Fdn.	Gift	Law School
Phyllis Moen	Gift	Minnesota Population Center, College of Liberal Arts
Roger L. and Lynn C. Headrick	Gift	Academic Health Center
Susan M. Berget	Gift	College of Biological Sciences
BASF Corp.	Gift	College of Food, Agricultural and Natural Resource Sciences

**\$10,000 - \$25,000**

Anonymous	Gift	Minnesota Landscape Arboretum
Corinne D. Bonicatto	Gift	Medical School
Margaret Rivers Fund	Gift	Academic Health Center, College of Veterinary Medicine
Sipcam Agro	Gift	College of Food, Agricultural and Natural Resource Sciences
Actelion Pharmaceuticals US Inc.	Gift	Medical School
June B. Hendrickson	Gift	University of Minnesota Duluth
George L. and Leni G. Wilcox	Gift	Medical School
Syvilla M. Turbis Estate	Gift	Academic Health Center, Medical School
Douglas and Wendy Dayton Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences, College of Veterinary Medicine
Edgerton Charitable Trust-Renaissance Charitable Fdn.	Gift	Medical School
James A. Zeese Jr.	Gift	College of Science and Engineering
Kathleen J. Greiling	Gift	College of Science and Engineering
Margaret H. and James E. Kelley Fdn. Inc.	Gift	Medical School
Steven and Karen Ellis	Gift	University of Minnesota Morris
Julie A. Fraunhoffer	Pledge	Carlson School of Management
ExxonMobil Fdn.	Pledge	College of Science and Engineering, Law School
Barr Engineering Co.	Gift	College of Science and Engineering
Marlys and Gary Kupferschmidt	Gift	Intercollegiate Athletics
Gary's Gift	Gift	Academic Health Center
Robert E. Greiling Jr.	Gift	College of Science and Engineering
Robert P. Cooke Estate	Gift	College of Design
Richard and Patty DeLano	Gift	University of Minnesota Duluth
Ben's Buddies	Gift	Medical School
Van Sloun Fdn.	Gift	Minnesota Landscape Arboretum
Mozilla	Gift	College of Science and Engineering
Peter and Elizabeth Ruenitz	Gift	College of Pharmacy
Teresa R. Thews	Gift	Academic Health Center
Boston Scientific Corp.	Gift	Academic Health Center, College of Science and Engineering
Thomas F. Madison	Gift	Carlson School of Management, College of Science and Engineering, Medical School
BioMatrix Inc.	Gift	College of Food, Agricultural and Natural Resource Sciences
C. Paul and Irene G. Venables Fdn.	Gift	Academic Health Center

**\$10,000 - \$25,000**

David R. and Kathleen Q. Carlsen	Gift	Unrestricted, Intercollegiate Athletics
Donald and Marie Roberts Charitable Fdn.	Gift	College of Veterinary Medicine
Drinkwalter Family Trust	Gift	College of Food, Agricultural and Natural Resource Sciences
Earl S. Sanford Estate	Gift	Scholarships
Gerald and Patrice Halbach Charitable Fund	Gift	College of Liberal Arts
John A. and Coral S. Houle	Gift	Aurora Center, College of Liberal Arts
John G. Mulrooney	Gift	Intercollegiate Athletics, Medical School
John P. Bly	Gift	Medical School
Kevin M. Gromley and Nancy J. Scott	Gift	College of Science and Engineering
Kuldeep Dhar	Gift	Carlson School of Management
Lorie Long Michaels	Gift	Medical School
Louise Carpentier	Gift	Unrestricted
Michael Floyd Fund at Schwab Charitable Fdn.	Gift	Academic Health Center
Mildred L. Skogmo	Gift	Medical School, School of Dentistry
O'Connor Family Fdn.	Gift	Medical School
Old Dutch Foods Inc.	Gift	Medical School
Sit Investment Associates Fdn.	Gift	Various Colleges
Steven C. Leuthold Family Fdn.	Gift	College of Veterinary Medicine
The Hawley Family Fdn. Inc.	Gift	College of Food, Agricultural and Natural Resource Sciences, College of Veterinary Medicine
Victoria J. Johnson Trust	Gift	College of Food, Agricultural and Natural Resource Sciences
Brian Obert	Gift	Intercollegiate Athletics
Gershon L. and Betty C. Gendler	Gift	University of Minnesota Morris
Dorothy H. Slonim	Gift	University of Minnesota Duluth
Christopher J. Kahler	Gift	Intercollegiate Athletics
Target Corp.	Gift	Carlson School of Management
John W. Hedberg	Gift	Academic Health Center
Emmillee Dennison Estate	Gift	Minnesota Landscape Arboretum
Esther T. Anderson Estate	Gift	Scholarships
Uwe and Dagmar Kortshagen	Pledge	College of Science and Engineering
Thomson Reuters	Pledge	Carlson School of Management
Larry R. Wefring	Gift	College of Pharmacy
Wells Fargo Fdn.	Gift/Pledge	Various Colleges
Abigail Gewirtz	Gift	College of Education and Human Development

**\$10,000 - \$25,000**

Catholic Rural Life	Gift	College of Food, Agricultural and Natural Resource Sciences
Donna M. Hipps	Gift	Minnesota Landscape Arboretum
American Legion Family Brain Sciences Fdn.	Gift	Medical School
James T. Prokopanko	Gift	Carlson School of Management, Intercollegiate Athletics
Park Dental Fdn.	Gift	School of Dentistry
Martha E. and David D. Kadue	Gift	Law School
Coloplast Corp.	Gift	College of Science and Engineering
Jon A. Carlson	Gift	Various Colleges
Camilla L. Reiersgord	Gift	College of Education and Human Development
Edward W. and Cora L. Remus	Gift	College of Science and Engineering
Ernst and Young Fdn.	Pledge	Various Colleges
Sandra M. and C. Robert Morris	Gift	College of Design, Northrop, Law School
William R. Dircks	Gift	Intercollegiate Athletics
David and Rosemary Good	Gift	College of Liberal Arts
Nicole M. Schoeppner	Gift	Intercollegiate Athletics
Pamela F. Olson	Gift	Law School
Amy Sajko	Gift	Academic Health Center
William E. Johnson	Gift	Academic Health Center
Fantesca Estate and Winery	Gift	Unrestricted
Marshall Concrete Products Inc.	Gift	Academic Health Center
Kathleen G. Dineen Estate	Gift	School of Nursing
United States Distilled Products	Gift	School of Public Health
Michael and Cynthia LeSage	Gift	Scholarships
David C. Gilberstadt	Gift	Various Colleges
Emily Anne Staples Tuttle Fund-MN Comm. Fdn.	Gift	College of Liberal Arts
H. William and Judy Walter	Gift	Intercollegiate Athletics
Philip L. Colgan and Geol Leonard Weirs	Gift	Medical School
Deidra J. Wager	Gift	University of Minnesota Duluth
PriceWaterhouseCoopers LLP	Pledge	Carlson School of Management
Gary Finley	Gift	University of Minnesota Duluth
Diane K. and Thomas P. Lentz	Gift	College of Veterinary Medicine
Robert Nygren Fund-Renaissance Charitable Fund Inc.	Gift	Scholarships
Debra Wilfong and Christine Lienert	Gift	Undesignated
Mary Claire Potter	Gift	Academic Health Center
Kenneth A. Epstein	Gift	College of Science and Engineering

**\$10,000 - \$25,000**

Nancy M. Kiskis	Gift	Carlson School of Management
Dusty Mairs	Gift	Medical School
A. Hubbard and G. Kehoe Fund-MN Comm. Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences
Amie K. Bucksa	Gift	Academic Health Center
Amyl H. Ahola	Gift	Medical School
Ann and James Winsor Charitable Fund	Gift	College of Veterinary Medicine
Ann M. Bode	Gift	Hormel Institute
Barbara B. Bentson Estate	Gift	Undesignated
Benjamin G. and Laura J. Cooper	Gift	Law School
Beth Kieffer Leonard	Gift	Carlson School of Management
Bradley A. and Arlene T. Forrest	Gift	Medical School
Brungardt Grantor Charitable Lead Annuity Trust	Gift	College of Science and Engineering
Daniel K. and Deborah L. Day	Gift	Medical School
David A. and Judith M. Perreault	Gift	Medical School
David R. and Anne R. Johanson	Gift	Law School
David W. Polly Jr.	Gift	Medical School
Deloitte Fdn.	Pledge	Carlson School of Management
Diane E. Anderson	Gift	Academic Health Center, Medical School
Dorothy E. Downey	Gift	School of Public Health
Ecolab Inc.	Gift	Carlson School of Management
El Fondo Boricua/The Boricua Fund-Fund B	Gift	Medical School
Ellen and Floyd Erkel	Gift	4H Foundation
Ernest C. and Caryl K. Pierson Fdn.	Gift	College of Education and Human Development
Friends of the Minnesota Men's Crew Club Inc.	Gift	Recreation Sports
Gerald S. Cloutier	Gift	Intercollegiate Athletics
Gregory P. Joseph	Gift	Law School
GREYlong Corp.	Gift	College of Veterinary Medicine
Henry H. Balfour Jr.	Gift	Medical School
Howard W. and Mary S. Cox	Gift	College of Science and Engineering
Inter City Oil Fdn.	Gift	University of Minnesota Duluth
Jane R. Klein	Gift	Minnesota Landscape Arboretum
Jantze L. Haley	Gift	Medical School
Judith A. Florine	Gift	Medical School
Kara E. and David W. Walter	Gift	Intercollegiate Athletics
Katherine Anderson Charitable Fund-American Ctr. Philanthropy	Gift	College of Veterinary Medicine
Kelen Family Fdn.	Gift	College of Science and Engineering

**\$10,000 - \$25,000**

L. David Engel	Gift	School of Dentistry
Lawrence H. Smith	Gift	College of Food, Agricultural and Natural Resource Sciences
Leo J. and Cheryl A. Sioris	Gift	College of Liberal Arts
M. Janice Hogan	Gift	College of Education and Human Development
Marcia L. Page	Gift	University of Minnesota Extension
Margaret V. B. Wurtele	Gift	Minnesota Landscape Arboretum
Marie E. Manthey	Gift	School of Nursing
Marilyn A. Beddor	Gift	Minnesota Landscape Arboretum
Mark S. and Marjorie J. Paller	Gift	Medical School
Matthew J. and Julie E. Walter	Gift	Intercollegiate Athletics
Maureen E. Pechacek	Gift	Carlson School of Management
Maureen K. Reed	Gift	Scholarships
Mezin-Koats Fam Fdn.-Renaissance Charitable Fdn. Inc.	Gift	Medical School
Michael T. and Jeanne E. Markell	Gift	University of Minnesota Extension
Mitch Richter	Gift	University of Minnesota Duluth
Mithun Family Fdn.	Gift	Academic Health Center
MOAC Mall Holdings LLC	Gift	Carlson School of Management
Peter and Judy Mitchelson	Gift	College of Food, Agricultural and Natural Resource Sciences
Philotimo Fdn.	Gift	College of Science and Engineering
Robert and Margaret Berdahl	Gift	College of Liberal Arts
Robert J. and Elizabeth J. Kueppers	Gift	Carlson School of Management
Robert L. Senkler	Gift	Carlson School of Management
Sandra Hunter	Gift	Medical School, Scholarships
Sinclair Winton	Gift	Minnesota Landscape Arboretum
Stanley and Marvel Chong Fdn.	Gift	Global Programs and Strategy Alliance
Steven J. Terry	Gift	College of Education and Human Development
Susan R. Applegate	Gift	Minnesota Landscape Arboretum
T. J. Herauf	Gift	Intercollegiate Athletics
The Loren and Rebecca Schechter Family Fund	Gift	Medical School
Thomas C. Yuzer	Gift	College of Liberal Arts
TriEst Ag Group Inc.	Gift	College of Food, Agricultural and Natural Resource Sciences
United HealthCare Services Inc.	Gift	Carlson School of Management
Van Dyke/Billy Fdn.	Gift	Intercollegiate Athletics
Veronica J. Johnson	Gift	College of Education and Human Development
Wayland E. Noland Fdn.	Gift	College of Science and Engineering

**\$10,000 - \$25,000**

Wells Fargo Bank NA	Gift	Carlson School of Management
WEM Fdn.	Gift	College of Biological Sciences
William C. Johnson	Gift	College of Science and Engineering
Young America Corp.	Gift	Carlson School of Management
<b><u>\$5,000 - \$10,000</u></b>		
George G. and Elizabeth J. Goldfarb	Gift	University of Minnesota Duluth
IBM International Fdn.	Pledge	Various Colleges
Edith H. Lynum Trust	Gift	Medical School
Gary W. Temte	Gift	Intercollegiate Athletics
Kevin W. Okeson	Gift	4H Foundation
Frances T. and Lawrence J. Syck	Gift	University of Minnesota Duluth
Stacey Mills Heins and Samuel Heins	Gift	Medical School
John W. Lavery	Gift	College of Veterinary Medicine
Lewis C. and Joan L. Lambert	Pledge	College of Food, Agricultural and Natural Resource Sciences
North Central Cheese Industries Assn.	Gift	College of Food, Agricultural and Natural Resource Sciences
Vanderbilt University Medical Center	Gift	Graduate School
Willard Miller Jr. and Jane Miller	Gift	College of Science and Engineering
Charles and Fran Symes	Gift	Scholarships
Mike Haglund	Gift	Intercollegiate Athletics
Ameriprise Financial Inc.	Gift	Carlson School of Management
Grant Thornton LLP	Gift	Carlson School of Management
Christine L. Meuers and Steven E. Rau	Gift	Law School
Phuong K. and Patrick L. Bajari	Gift	College of Liberal Arts
Michael C. Nowakowski	Gift	Intercollegiate Athletics
Wendy M. Nelson	Gift	Carlson School of Management
Cynthia Engelbrecht	Gift	College of Food, Agricultural and Natural Resource Sciences
Earth Science Laboratories Inc.	Gift	College of Food, Agricultural and Natural Resource Sciences
Factory Motor Parts Co.	Gift	Intercollegiate Athletics
Gerald S. and Judy C. Duffy	Gift	Law School, College of Liberal Arts
Lang Family Fdn.	Gift	Minnesota Landscape Arboretum
Robert J. Knoll	Gift	Carlson School of Management
Women's Fdn. of Minnesota	Gift	School of Nursing
The Coca-Cola Co.	Gift	Intercollegiate Athletics
Alan E. and Linda J. Shapiro	Gift	College of Science and Engineering, Libraries
Robert S. and Patricia K. Strickland	Gift	Carlson School of Management
Dan R. Hofstad	Gift	College of Food, Agricultural and Natural Resource Sciences

**\$5,000 - \$10,000**

Elizabeth Steele Fund-Fidelity Charitable Gift Fund	Gift	College of Food, Agricultural and Natural Resource Sciences
Lucky Seven MN Fdn.	Gift	Minnesota Landscape Arboretum
Olga B. Hart Education Fdn.	Gift	Graduate School
Samuel and Ardis Beard	Gift	University of Minnesota Duluth
Thomas J. Dybsky	Pledge	Carlson School of Management
F. D. Conrad and J. McIntyre Conrad Fund-Mpls Fdn.	Gift	School of Nursing
David S. and Beverly A. Lohs	Gift	Intercollegiate Athletics
David E. Feinberg	Gift	College of Science and Engineering
Patricia A. Lewis	Gift	College of Liberal Arts
Mark E. Vandersall	Gift	Intercollegiate Athletics
Robert A. Mulder	Gift	Intercollegiate Athletics
James G. Wohlford	Gift	Intercollegiate Athletics
Anonymous	Gift	College of Education and Human Development
David S. and Jillinda J. Kidwell	Gift	Carlson School of Management
Helen and Daniel Lindsay Family Fund-Mpls Fdn.	Gift	Weisman Art Museum
Mary Belford	Gift	College of Veterinary Medicine
Thomas B. Mowbray	Gift	University of Minnesota Duluth
Greater Twin Cities United Way	Gift	Various Colleges
Luong B. Tran and Minh-Tam T. Lu	Gift	College of Education and Human Development, College of Science and Engineering
Quang Tran Inc.	Gift	College of Education and Human Development, College of Science and Engineering
Joseph R. Mucha	Gift	Carlson School of Management
Cynthia C. and Mark E. Rodahl	Gift	Carlson School of Management, Intercollegiate Athletics
Thomas J. Crowley	Gift	Medical School
Allina Health System	Gift	Center for Spirituality and Healing
Gilbert B. Overson	Gift	College of Science and Engineering
Kirk E. Rovang	Gift	University of Minnesota Morris
Mark and Charlie's Gay Lesbian Fund-Moral Values	Gift	Law School
Thomas E. Nelson and Kathryn L. Pyzdrowski	Gift	Medical School, College of Science and Engineering
Robert K. Eddy	Gift	Intercollegiate Athletics
Johnson and Johnson Services Inc.	Gift	Medical School
Elizabeth S. Blake	Gift	University of Minnesota Morris
Barbara F. Gooch	Gift	School of Public Health

**\$5,000 - \$10,000**

Alfred Sedgwick Fund-Fidelity Charitable	Gift	College of Liberal Arts
Andreas Fdn.	Gift	Minnesota Landscape Arboretum
Ben and Mary Whitney Fund of The Mpls Fdn.	Gift	Humphrey School of Public Affairs
Carolyn J. Sorensen	Gift	College of Liberal Arts, Medical School
David L. and Sheryl P. Evelo	Gift	College of Education and Human Development
Dow International Finance Sarl	Gift	College of Food, Agricultural and Natural Resource Sciences
Enxian Lu	Pledge	College of Pharmacy
FMC Corp.	Gift	College of Food, Agricultural and Natural Resource Sciences
Jeffrey and Marilyn Litman	Gift	Intercollegiate Athletics, College of Liberal Arts
Joseph G. Brown	Gift	Weisman Art Museum, College of Liberal Arts
Julianne C. Wood-Rethwill and Craig E. Rethwill	Gift	College of Food, Agricultural and Natural Resource Sciences
Michael A. and Shelley D. Strobel	Gift	College of Veterinary Medicine
Mortenson Family Fdn.	Gift	College of Food, Agricultural and Natural Resource Sciences
Nancy B. Webster	Gift	Minnesota Landscape Arboretum
Paul and Lori Ness	Gift	Global Programs and Strategy Alliance
Wilhelm W. and Mary A. Seeger	Gift	College of Liberal Arts
Patricia A. Gay	Gift	College of Veterinary Medicine
Thomas M. and Laura L. Davidson	Gift	College of Veterinary Medicine
Charlotte Lavery	Gift	College of Veterinary Medicine
Cargill Inc.	Pledge	Various Colleges
Janet S. McClendon and Alan V. Vaskas	Gift	Law School
Iowa Renewable Fuels Association	Gift	Hormel Institute
Tom Claya	Gift	Intercollegiate Athletics
Kurtis K. Wohlford	Gift	Carlson School of Management
Bernard P. and Cindy L. Aldrich	Gift	College of Veterinary Medicine
Jack and Gail Kochie	Gift	College of Continuing and Professional Studies, Academic Health Center, Medical School
Sharon and Fritz Johnson	Gift	College of Science and Engineering
Leanna M. Rogers	Gift	College of Veterinary Medicine
Peter R. Bjornberg	Gift	College of Science and Engineering, College of Liberal Arts
Robert W. and Judith B. Snook	Gift	Medical School

**\$5,000 - \$10,000**

Tori and Tom Ostlund	Gift	Medical School, Academic Health Center
James B. Stowe and Barbara Gunderson Stowe	Gift	University of Minnesota Morris
James H. and Mary B. Hammill	Gift	College of Food, Agricultural and Natural Resource Sciences
Ken and Marie Bezdicek	Gift	College of Food, Agricultural and Natural Resource Sciences
Nicholas B. Alworth	Gift	University of Minnesota Duluth
Compeer Financial	Gift	Hormel Institute
Cristine M. Levenduski	Gift	University of Minnesota Duluth
Margaret V. Erickson	Gift	College of Food, Agricultural and Natural Resource Sciences, College of Liberal Arts
Samuel L. and Sylvia K. Kaplan	Gift	Law School
John R. Beard	Gift	Libraries
Steven H. Miles	Gift	Libraries
Kenneth and Linda Cutler	Gift	Minnesota Landscape Arboretum
Hegman Family Fdn.	Gift	Minnesota Landscape Arboretum
Raytheon Co.	Pledge	College of Science and Engineering
James H. Rickert and Ronald L. Pentz	Gift	Medical School
Deron M. Johnson	Gift	Intercollegiate Athletics
Donna R. Born	Gift	Global Programs and Strategy Alliance
Elizabeth M. Bennett	Gift	College of Education and Human Development
Kathleen and Lawrence Mottl	Gift	College of Veterinary Medicine
Heidi Roy Hubbard and Robert W. Hubbard	Gift	Academic Health Center
James P. and Linda J. Johnson	Gift	College of Food, Agricultural and Natural Resource Sciences
Bradley and Barbara Anderson	Gift	College of Food, Agricultural and Natural Resource Sciences
Devra Miller Breslow	Gift	School of Public Health
M. Charles and Colleen Swope	Gift	Law School
Rhonda Hovan	Gift	College of Veterinary Medicine
Robert and Sandra Stein	Gift	Law School
Suzanne C. Blue	Gift	Minnesota Landscape Arboretum
Lisa A. Ferris and Kerry J. Marusich	Gift	Carlson School of Management
Jeffrey R. Ohe	Gift	Intercollegiate Athletics
Brian O'Grady and Julia Scatliff O'Grady	Gift	College of Education and Human Development
George M. Reid	Gift	College of Liberal Arts
Jane M. Potish	Gift	Medical School

**\$5,000 - \$10,000**

James and Sharon Hale	Gift	Law School
Robert and Victoria Mason	Gift	University of Minnesota Duluth
ALDI Inc.	Gift	Carlson School of Management
Anonymous	Gift	Carlson School of Management
Anonymous	Gift	Carlson School of Management
Arne T. Lagus	Gift	Medical School
Avantstar Inc.	Gift	Medical School
Barbara S. Haroldson	Gift	Minnesota Landscape Arboretum
Beth Hunt Erickson	Gift	Minnesota Landscape Arboretum
Bob and Laura Eng	Gift	School of Dentistry
Bradley D. Pedersen	Gift	Law School
Brent E. and Cynthia A. Larson	Gift	School of Dentistry
Bridget A. Ruemmele	Gift	College of Food, Agricultural and Natural Resource Sciences
C. J. Rapp Pittman	Gift	College of Biological Sciences
Carol R. Gurstelle	Gift	University of Minnesota Extension
Chad and Bethany Griffith	Gift	Medical School
Charles A. Horwitz	Gift	Medical School
Charles E. Sudberry	Gift	University of Minnesota Duluth
Charles K. Marschke	Gift	College of Biological Sciences
Christine A. Kletti	Gift	Intercollegiate Athletics
Christopher R. Hansen	Gift	College of Science and Engineering
Curtis L. Roy	Gift	Law School
Dale A. and Barbara A. Chapman	Gift	Law School
David A. DeWahl	Gift	Scholarships
David and Candace Meyer	Gift	Intercollegiate Athletics
David L. and Marie K. Goblirsch	Gift	College of Biological Sciences
Delores E. Isaacson	Gift	Minnesota Landscape Arboretum
Eaton Corp. Charitable Fund	Gift	Carlson School of Management
Edward B. and William M. Martin-Chaffee	Gift	Medical School
Elda E. Amundson	Gift	Undesignated
Evans Chip Connelly Jr.	Gift	Academic Health Center
Fahning Heritage Fund-National Christian Fdn.	Gift	Academic Health Center
Frels Family Fdn.	Gift	College of Liberal Arts
Frey Fdn.	Gift	University of Minnesota Duluth
Gary D. and Catherine M. Geroy	Gift	College of Education and Human Development
Gary L. Filerman	Gift	Libraries
George and Janice Christiansen	Gift	Academic Health Center
George F. Detrick	Gift	College of Veterinary Medicine

**\$5,000 - \$10,000**

George G. and Mary Dee J. Hicks	Gift	Law School, University of Minnesota Extension
George P. and Barbara M. Hagemann	Gift	College of Veterinary Medicine
Gerald D. Cavanaugh	Gift	School of Dentistry
Gerda Ann Gassman	Gift	College of Science and Engineering
Gregory G. and Jacqueline J. Johnson	Gift	Law School
Harlene O. Hagen	Gift	University of Minnesota Crookston
Hidden Lane Fund-Northern Trust Giving Program	Gift	Medical School
Holly Christina Stahl Fdn. Inc.	Gift	College of Design
Institute for Agriculture and Trade Policy	Gift	University of Minnesota Morris
J. A. Wedum Fdn.	Gift	Minnesota Landscape Arboretum
James A. Hornig	Gift	Minnesota Landscape Arboretum
James A. Trender	Pledge	Carlson School of Management
James and Beverly Whipple	Gift	Medical School
James and Janet Richard	Gift	Intercollegiate Athletics
James Burke	Gift	Hormel Institute
James R. and Patricia M. Pray	Gift	College of Biological Sciences
Jane S. Miller	Gift	College of Education and Human Development
Jason S. Patzlaff	Gift	University of Minnesota Morris
Jeff H. Eckland	Gift	College of Liberal Arts
Jeffrey C. and Sarah M. Zutz	Gift	College of Liberal Arts
Jeffrey J. Puschell	Gift	College of Science and Engineering
Jigna Desai	Gift	College of Liberal Arts
Joan C. Stanisha	Gift	Academic Health Center, School of Nursing
John and Julie Heinmiller	Gift	Medical School
Karen M. Quinby	Gift	Law School
Kathy T. Goldstein	Gift	College of Pharmacy
Kay E. Dobbs	Gift	Medical School
Kimberly A. Krabill	Gift	Medical School
Kraig L. Larson	Gift	Law School
Kristin K. Elliott and Randall O. Card	Gift	Medical School
Larry and Darla Schwendeman	Gift	4H Foundation
Larry L. and Susan E. Hassler	Gift	College of Veterinary Medicine
Lorraine B. Gresser	Gift	Medical School
Lynn C. Boldt	Gift	Medical School
Macroclimate LLC	Gift	Institute on the Environment
Maggie G. Albers	Gift	University of Minnesota Morris
Manley E. and Ann M. Olson	Gift	College of Food, Agricultural and Natural Resource Sciences

**\$5,000 - \$10,000**

Margaret M. Brophy	Gift	Medical School
Marshall Z. Schwartz	Gift	Medical School
Mary Ann M. Smith	Gift	College of Education and Human Development
Mary R. Hable and James E. Heppelmann	Gift	College of Science and Engineering
Michael Haley	Gift	College of Food, Agricultural and Natural Resource Sciences
MillerCoors LLC	Gift	College of Food, Agricultural and Natural Resource Sciences
Molly and Ronald Poole Family Fund-Mpls Fdn.	Gift	Medical School
Mr. and Mrs. William A. Tayk	Gift	4H Foundation
Natoli Engineering Co. Inc.	Gift	College of Pharmacy
Neil E. and Mary Ann Waldo	Gift	University of Minnesota Duluth
Palm Center	Gift	Unrestricted
Parravano Fund-Fidelity Charitable	Gift	Scholarships
Paul T. Magee	Gift	College of Biological Sciences
Peter F. Rockers	Gift	Medical School
Phyllis H. and Roger H. Sherman	Gift	College of Veterinary Medicine
Rahr Fdn.	Gift	4H Foundation
Rasmussen - Northeast Bank Fdn.	Gift	Medical School
Renae L. Welder	Gift	Law School
Richard and Katherine Olson Charitable Fund	Gift	Minnesota Landscape Arboretum
Richard J. and Teresa A. J. Devick	Gift	College of Liberal Arts
Richard L. Sandberg	Gift	University of Minnesota Morris
Robert J. Schroeder	Gift	Law School
Rosemary H. and David F. Good	Gift	Weisman Art Museum
Sally B. and Charles R. Jorgensen	Gift	College of Biological Sciences
Sanjeev Chaddha	Gift	Carlson School of Management, College of Food, Agricultural and Natural Resource Sciences
Sping Lin	Gift	Medical School
Stanley and Sharon Hup	Gift	Intercollegiate Athletics
Steven J. Helmer	Gift	Law School
Susan Ring-Harris	Gift	Intercollegiate Athletics
Tashjian-Savik Charitable Gift Fund-Fidelity Charitable	Gift	Minnesota Landscape Arboretum
The Head Family Fdn.	Gift	Minnesota Landscape Arboretum
The Joseph Durda Fdn.	Gift	Intercollegiate Athletics
The Maurice L. Whitaker Living Trust	Gift	College of Science and Engineering
The Stablich Fdn.	Gift	Intercollegiate Athletics

**\$5,000 - \$10,000**

Thomas A. and Mona C. Dougherty	Gift	College of Education and Human Development, Carlson School of Management
Thomas C. and Lois L. Sando	Gift	College of Food, Agricultural and Natural Resource Sciences
Thomas R. Breckenridge	Gift	College of Food, Agricultural and Natural Resource Sciences
Tryphon Georgiou and Efi Foufoula-Georgiou	Gift	College of Science and Engineering
Victor A. Bloomfield	Gift	College of Biological Sciences
Weisdorf Charitable Fund-Fidelity Charitable	Gift	College of Education and Human Development
WestRock	Gift	Carlson School of Management
Whitefish Area Property Owners Assn.	Gift	College of Food, Agricultural and Natural Resource Sciences
William A. Cumming	Gift	Law School
William and Marilyn Larson	Gift	4H Foundation
William D. and Marsha J. Beyer	Gift	University of Minnesota Morris
Yu-Wen Wu	Gift	Weisman Art Museum
Zinpro Corp.	Gift	College of Veterinary Medicine



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** 2017 University Plan, Performance, and Accountability Report

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Karen Hanson, Executive Vice President and Provost

## **PURPOSE & KEY POINTS**

The purpose of this item is action on the *2017 University Plan, Performance, and Accountability Report*.

Throughout the year, this annual report is used as a reference guide on the University's progress toward its strategic goals. This year's report continues to include the University Progress Card to highlight key measures that demonstrate the University's success in remaining accessible, attracting outstanding students, offering a great student experience, graduating students prepared for success, conducting breakthrough research, engaging with communities, and being a productive and efficient organization.

A highlights brochure has been produced to share key points from the report, and is included in the docket.

## **BACKGROUND INFORMATION**

In 2000, the Board approved the creation of the University Plan, Performance, and Accountability Report. In its resolution, the Board noted that it "...holds itself accountable to the public for accomplishing the mission of the University" and that the report was to become the principal annual documentation of that accountability. The first report was published in 2001. The 2017 edition is the 16<sup>th</sup> edition.

The Board reviewed the report at its December 2017 meeting

## **PRESIDENT'S RECOMMENDATION**

The President recommends approval of the resolution related to the *University Plan, Performance, and Accountability Report*.



## REGENTS OF THE UNIVERSITY OF MINNESOTA

### RESOLUTION RELATED TO

### University Plan, Performance, and Accountability Report

**WHEREAS**, the Board of Regents (Board) and the president of the University are entrusted with the responsibility in their oversight of the University to be good stewards of the public interest, resources, and facilities; and

**WHEREAS**, it is the responsibility of the Board, in cooperation with the president, to articulate the directions and priorities of the institution; identify and analyze the critical issues and challenges confronting the University; assess its operations; and evaluate the performance and success of its colleges and campuses; and

**WHEREAS**, it was resolved that the *University Plan, Performance, and Accountability Report* (Report) shall include the priorities of the institution; statistical profiles of the University at the campus level; selected statistics related to system trends; University-wide strategies to achieve goals; summaries of accomplishments and investments; progress in institutional performance measures; and summaries of special institutional studies and reports; and

**WHEREAS**, on the recommendation of the executive vice president and provost, the president of the University requests the Board accept the 2017 Report.

**NOW, THEREFORE, BE IT RESOLVED** that the Board accepts the 2017 Report as submitted by the administration.

# Your University of Minnesota

## Key Points from the 2017 University Plan, Performance, and Accountability Report

For more detail about the following statements, please see the full report at [z.umn.edu/accountabilityreport](http://z.umn.edu/accountabilityreport).

# \$1 million

in property insurance savings  
in fiscal year 2017



## Efficient and productive

We continue to save money and our more than 26,000 employees statewide are driven to educate, research, and serve.

- The University has achieved and specifically planned \$79.1 million toward its committed \$90 million goal of administrative cost reductions (p. 111).
- Results of the 2017 employee engagement survey show very high levels of faculty and staff commitment and dedication that exceed the levels of many top-performing companies worldwide (p. 104).
- The University has successfully reduced the cost of debt financing and achieved nearly \$1 million in property insurance savings in fiscal year 2017 (p. 110).
- The University has developed several enhanced tools to analyze and monitor financial activity (p. 111).

## Outstanding students

Our campuses attract students who are second to none in their motivation and preparation for success.

- The average ACT composite scores for the fall 2017 incoming Twin Cities class have improved significantly over the past ten years, from 25.9 to 28.4. New fall 2017 honors students showed an average ACT composite score of 32.9 (pp. 38–39).
- In fall 2017, new-student enrollment on the Rochester campus exceeded expectations and set a record for an incoming class (p. 30).
- Duluth has developed initiatives that are contributing to positive enrollment growth and first-to-second year persistence rates (p. 45).
- In 2017, four Morris students won Fulbright scholarships (p. 51).
- Seventy-nine percent of new students surveyed in fall 2017 indicated the size of the campus was a reason they selected Crookston (p. 56).
- In 2016–17, a record 37 new graduate students were awarded National Science Foundation Fellowships and the University was named a top Fulbright producer (p. 68).
- The most recent entering class of J.D. candidates had a median LSAT at the 87th percentile nationally (p. 75).

# 28.4

average ACT composite score  
for incoming Twin Cities class



# 150+

## UMD students participate in the Undergrad Research Opportunity Program



## Something for every student

We offer all of our students an incredible experience.

- Twin Cities undergraduates have the opportunity to enroll in Grand Challenge Curriculum courses, which bring a solution-driven, interdisciplinary approach to important global issues (pp. 39–40).
- Between 150 and 200 Duluth students participate each year in the Undergraduate Research Opportunity Program, and several departments have nationally recognized summer undergraduate research programs (p. 46).
- Morris offers the same focused experience as the Upper Midwest’s many excellent private liberal arts colleges, but at half or a third of the price (p. 51).
- Crookston’s focus on experiential learning means students learn concepts and actively apply them through projects, simulations, field trips, site visits, service-learning projects, and interactions with professionals in the field (p. 58).
- Each student at Rochester is guided by a success coach. This individualized support is one of several innovations contributing to the high success rate of underrepresented students (pp. 62–63).
- A record number of entering graduate students of color and students from underrepresented backgrounds took part in the seven-week DOVE Summer Institute, designed to help create a welcoming and inclusive climate on campus (pg. 69).

## Providing value and affordability

We strive to provide a quality education while keeping student costs down.

- The total amount of gift aid provided to undergraduates system-wide has increased, while the percentage of students who graduate with student debt has decreased. For those who do borrow, the average and median loan debt amounts have also decreased (p. 34).
- The University Promise Scholarship helps more than 13,000 low- and middle-income Minnesota undergraduates system-wide, providing funding to students from every Minnesota county (pp. 37–38).
- The Link program at Duluth provides a pathway for interested Lake Superior College undergraduates to complete their degree at the University of Minnesota. (p. 44).

# 13,000

low- and middle-income MN undergrads helped by U Promise scholarship



# 21%

of UMM students are American Indian

.....

- In fall 2017, 21 percent of Morris students are American Indian—the highest percentage at a four-year, non-tribal institution in the Upper Midwest. Eligible students receive a tuition waiver tied to the campus’s history as an American Indian boarding school (p. 50).
- Crookston offers 14 of its 34 majors entirely online as well as on campus (p. 56).



- The Graduate Admissions Office offers application fee waivers to active-duty members of the military, veterans, and McNair Scholars (p. 66).
- The total amount of funding for graduate assistants, fellows, and trainees during fiscal year 2017 has increased more than 12 percent over five years (p. 67).
- The Law School has sharply increased scholarship support for its students, with more than 90 percent of the most recent entering J.D. class receiving grant aid (p. 75).
- The Master of Business Accountancy Program offers its students ten-week, full-time paid internships that fund 75 percent of the tuition cost of the degree (p. 76).

## A focus on student success

Our students are prepared to succeed in their future careers.

- Over the past decade, graduation rates on all campuses have improved (pp. 41, 48, 53, 60, 65), including the three-year graduation rate for Twin Cities transfer students (p. 38) and student-athletes (p. 42).
- The employment rate for Duluth graduates is in the very high 90th percentile, and external advisory boards rate them highly (p. 15).
- Ninety-five percent of 2015 Morris graduates indicated that they were employed and/or in graduate or professional school one year after graduation (p. 52).
- In the past five years, 40 percent of Crookston pre-vet students have gone on to veterinary school; the national average is 10 percent (p. 57).
- To date, 100 percent of Rochester’s bachelor of science in health professions graduates have passed the exams for their professions and are employed in their chosen fields (p. 64).

# 95%

of UMM’s graduates employed or in graduate school one year after graduation

.....

# 100%

of UMR B.S. in health professions graduates are employed in their chosen fields

.....

- The University is the state’s primary source of well educated professionals for many industries, granting in 2017 more than 1,200 health professional degrees, more than 260 legal-related degrees, nearly 600 master of education degrees, and nearly 500 M.B.A. degrees (pp. 78–79).

# \$8.6 billion

estimated annual economic impact for Minnesota



## Breakthrough research

We conduct research that moves Minnesota, and the nation, forward.

- The University ranks eighth among U.S. public universities in research spending, with \$940 million in research expenditures across all of its campuses, and generates an estimated \$8.6 billion annual economic impact for Minnesota (p. 85).
- In the first half of 2017, MnDRIVE researchers have disclosed 28 inventions for patents or licensing and received more than \$25 million in external funding. The 2017 Minnesota Legislature passed an additional \$4 million in annual funding to launch the MnDRIVE cancer clinical trials initiative (p. 88).
- For the eighth consecutive year, the University launched a record number of startups; since 2006, these startups have raised close to \$400 million in outside investment capital. A 2017 Milken Institute study named the Office for Technology Commercialization a top tech transfer enterprises among U.S. universities (p. 91).
- The University has implemented several successful strategies to grow academic industry partnerships, including MnDRIVE, the Corporate Engagement Workgroup, and the Minnesota Innovation Partnerships (MN-IP). MN-IP, designed to streamline University-industry partnerships, has led to 333 agreements with 190 individual companies since its inception (pp. 88, 90–91).

## Community partners

Our faculty, staff, and students work in and with MN communities.

- Twin Cities students in the Community Engagement Scholars Program each provide at least 400 hours of community service and produce a capstone project with a community organization (p. 40).
- Morris partners with 80 area agencies and organizations to enrich student learning and meet community needs (p. 52).
- In 2017, the University Libraries received the National Medal for Museum and Library Service, the nation's highest honor given for service to the community. The University was also named the first recipient of the Institutional Award for Global Learning, Research, and Engagement by the Association of Public and Land-Grant Universities (p. 96).
- Duluth's Center for Economic Development works to strengthen the viability of the region (p. 98).
- The Community-University Health Care Center provided primary medical, behavioral health, and dental care services to more than 11,000 patients while providing training for nearly 300 health professional students and residents (p. 100).
- The Center for Urban and Regional Affairs matched research and technical needs of organizations with students to carry out more than 40 community-defined and guided projects (p. 101).
- The Crookston, Morris, and Twin Cities campuses were listed on the 2016 President's Higher Education Community Service Honor Roll, the highest federal recognition an institution can receive for its community and civic engagement (pp. 95–96).
- Extension's Regional Sustainable Development Partnerships serve more than 350 partners across the state with 127 community-driven sustainability projects (p. 98).
- Twin Cities employees raised \$1.4 million as part of the Community Fund Drive (CFD), which benefits seven nonprofit federations representing nearly 500 organizations. In the past 20 years, CFD has raised more than \$20 million to benefit the community (p. 108).

# 11,000

received care from 300 U of M health professional students



an institution can receive for its community and civic engagement (pp. 95–96).

- Extension's Regional Sustainable Development Partnerships serve more than 350 partners across the state with 127 community-driven sustainability projects (p. 98).
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# University Progress Card

The University Progress Card drives performance and supports oversight of specific aspirational goals set by the Board of Regents and the administration.

Gold measures represent data sources that are well understood and agreed

upon, where there is the ability to set a quantifiable goal over a reasonable time period, and where the University can take action to influence the results. Maroon measures are important trends and indicators, but the goals may be directional in nature or the measure may only need to be monitored, and

University action alone is not likely to significantly influence the measure.

Progress Card measures are connected to and more deeply informed by the University's Plan, Performance and Accountability Report.

## Gold Measures

Entering Year	Campus	2010	2011	2012	2013	Goal/Year	Page
4-year graduation rate	Crookston	42.5%	44.5%	46.5%	46.2%	45%/2017 cohort	59–60
	Duluth	38.2%	39%	38.9%	40.9%	45%/2017 cohort	47–48
	Morris	53.4%	52.6%	54.3%	48.9%	60%/2017 cohort	53–54
	Rochester	50%	63.1%	56.4%	60%	60%/2017 cohort	64–65
	Twin Cities	60.9%	63.3%	65.2%	68.4%	65%/2017 cohort	41–42
Entering Year		2008	2009	2010	2011	Goal/Year	
6-year graduation rate	Crookston	51.7%	48.4%	56.7%	58.9%	60%/2015 cohort	59–60
	Duluth	65.5%	66.5%	64.7%	65.1%	68%/2015 cohort	47–48
	Morris	73.5%	68.1%	69.1%	64.1%	80%/2015 cohort	53–54
	Rochester	NA	60%	62%	69.4%	60%/2015 cohort	64–65
	Twin Cities	78.7%	77.6%	78.9%	80.6%	82%/2015 cohort	41–42
Entering Year		2010	2011	2012	2013	Goal/Year	
4-year graduation rate of Pell-eligible students	System	43.9%	45.4%	47.4%	50.9%	54%/2017 cohort	33
		2014–15	2015–16	2016–17	2017–18	Goal	
Freshman average ACT	Twin Cities	27.9	28.2	28.3	28.4	>28.0	38
		2012–13	2013–14	2014–15	2015–16	Goal/Year	
Institutional gift aid	System	\$216M	\$223M	\$233M	\$246M	\$275M/2021	34
		FY2013	FY2014	FY2015	FY2016	Goal/Year	
R&D expenditures	Twin Cities	\$858M	\$877M	\$881M	\$910M	\$900M/2021	85
		FY2013	FY2014	FY2015	FY2016	Goal/Year	
Medical School ranking	Twin Cities/ Duluth	27	30	32	34	Top 20/2021	78
		2010–11	2011–12	2012–13	2013–14	Goal/Year	
Faculty awards N and (Rank: Public Universities)	Twin Cities	25 (10th)	33 (5th)	32 (6th)	26 (8th)	35+ (Top 10)/2021	105
		2013	2014	2015	2017	Goal/Year	
% Participation in Employee Engagement Survey	System	57%	64%	67%	71%	72%/2021	104
		FY2014	FY2015	FY2016	FY2017	Goal/Year	
Op-Ex—continued progress on \$90M	System	\$18.8M	\$40.4M	\$57.8M	\$68.4M	\$90M/FY19	111

# Maroon Measures

Strategic Focus	Campus	Performance Drivers/Outcomes	2011	2012	2013	2014	Goal	Page
Undergraduate Education	Twin Cities	Transfer student 3-year graduation rate	62.5%	61.4%	62.4%	64.6%	>65%	38
			<b>2013–14</b>	<b>2014–15</b>	<b>2015–16</b>	<b>2016–17</b>	<b>Goal</b>	
Graduate Education	Twin Cities/Duluth	Graduate and professional degrees awarded	5,294	5,305	5,184	5,372	>5,250	2
			<b>2012–13</b>	<b>2013–14</b>	<b>2014–15</b>	<b>2015–16</b>	<b>Goal</b>	
Financial Accessibility	System	Median undergraduate debt at graduation	\$24,880	\$24,854	\$24,776	\$24,645	Grow no faster than CPI; Correct for federal/state policy changes	34
			<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2017</b>	<b>Goal</b>	
Inclusive Success	Twin Cities	Students of color with a favorable sense of belonging on campus (SERU survey)	59.2%	57.5%	57.3%	52.3%	Match non-SOC response (currently 65.4%)	38
			<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2017</b>	<b>Goal</b>	
Serving Minnesota Students	System	Percent of incoming new (and all currently enrolled undergraduate) students who are Minnesota high school graduates	72.3% (71.9%)	71.0% (71.4%)	70.0% (71.0%)	70.6% (71.1%)	Maintain historical access	34
	System	Percent of Minnesota high school graduates that elect to attend college in Minnesota and enroll at the University as freshmen	16.2%	16.7%	16.6%	18.7%	Maintain historical access	34
			<b>2013–14</b>	<b>2014–15</b>	<b>2015–16</b>	<b>2016–17</b>	<b>Goal</b>	
Health Sciences	Twin Cities/Duluth/Rochester	Enrollment in in-demand health science specialties (Nursing, Pharmacy, Dentistry)	2,000	2,051	2,085	2,072	>2,100	79
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	System	MN-IP agreements	51	69	81	72	10% annual growth	91
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	System	National scholarships awarded to students		31	52	75	>80 from 2015–2020	34
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Operational Excellence	System	Spending on leadership & oversight vs. mission and mission support (%)	8.3%	8.1%	8.1%	8.3%	Decrease over time	111
	System	GSF in poor or critical condition (facility condition assessment)	7.61M	7.73M	8.32M	8.43M	Decrease over time	112
	System	Sustainability—Metric tons of greenhouse gasses (2008 base level: 703,311)	626,599	603,504	592,269	571,595	50% reduction from 2008 levels by 2021 (351,656)	112
	System	Credit rating	Aa1	Aa1	Aa1	Aa1	Maintain per Board policy	110–111
			<b>2003–06</b>	<b>2004–07</b>	<b>2005–08</b>	<b>2006–09</b>	<b>Goal</b>	
Athletics	Twin Cities	Graduation Success Rate (GSR)	83.6%	86.2%	88.2%	90.4%	Maintain recent gains	42



2017 University Plan,  
Performance, and Accountability Report

UNIVERSITY OF MINNESOTA  
**Driven to Discover**<sup>SM</sup>





# 2017 University Plan, Performance, and Accountability Report



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# Introduction

**“To benefit the people of the state, the nation, and the world”**

## University 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.

This mission, carried out on multiple campuses and throughout the state, is threefold:

**Providing an extraordinary education** that generates knowledge, understanding, and creativity. We seek to develop students who become leading scientists and teachers, engineers and artists, and health and business professionals, and who contribute to their communities at every level.

**Conducting breakthrough research** that moves us forward. Our researchers improve our understanding of the world and how we work and live.

**Partnering with communities** to advance research, share knowledge, and provide students with powerful academic experiences that address the challenges of a diverse and changing world.

To support this mission effectively, the University is committed to:

**Employing world-class faculty and staff** who are innovative, energetic, and dedicated to the highest standards of excellence.

**Stewarding an outstanding organization** that is responsible with resources, dedicated to measuring and improving performance, and aligned to support the University’s core functions of teaching, research, and outreach.

## University Overview

The University of Minnesota, founded in 1851, seven years before the territory of Minnesota became a state, is Minnesota’s flagship and land-grant university and one of its most important assets, as well as a powerful resource for the region, the nation, and the world.

The University comprises five campuses with distinct roles, each campus contributing to the University’s mission: the Twin Cities campus, where the University originated; the Duluth campus, which joined the University in 1947; the Morris campus, which became a system campus in 1960; the Crookston campus, which was added in 1966; and the Rochester campus, which was designated a system campus in 2006. The University is the state’s only research university, and the Twin Cities campus is among the nation’s most comprehensive institutions—one of only five campuses that have agricultural programs as well as an academic health center with a major medical school.

The University is the state’s economic and intellectual engine. As a globally engaged research institution and one of only 62 members of the prestigious Association of American Universities, it serves as a magnet for talented people, a hub for collaboration, and a powerful catalyst for growth and innovation—a place where ideas flourish and where discoveries and services advance Minnesota’s economy and quality of life. As Minnesota’s land-grant institution, the University is strongly connected to Minnesota’s communities, large and small, partnering with the public to apply its research and teaching for the benefit of the state and its citizens.

### **Governance and Leadership**

The University is governed by a Board of Regents elected by the Minnesota Legislature (see discussion on page 3 and list of current regents in Appendix B). The president, executive vice president and provost, and vice presidents serve as the senior leaders of the University and the Twin Cities campus, which avoids the added administrative cost of a separate “system” office. Direct leadership for the remaining campuses is provided by four chancellors (see list of senior leaders in Appendix C).

### **Accreditation**

All campuses of the University of Minnesota operate with the accreditation of the Higher Learning Commission. The Twin Cities campus has been accredited continuously since 1913. The Duluth campus has been accredited since 1968, and the Morris and Crookston campuses were first accredited

in 1970 and 1971. The Rochester and Twin Cities campuses are accredited jointly. Each campus is accredited to offer the bachelor’s degree; the Duluth campus is accredited to offer the master’s degree and the Doctor of Education (Ed.D.) degree; and the Twin Cities campus is accredited to grant master’s, doctoral, and professional degrees (see accreditation discussion on page 5).

### **Enrollment**

Total enrollment at the University’s campuses for fall 2017 was 67,949. Sixty-six percent of registered students were undergraduates. Non-degree-seeking students represented nine percent of total enrollment. In 2016–17, the University granted 10,613 bachelor’s degrees, 3,681 master’s degrees, and 1,691 doctoral degrees (Ph.D., M.D., D.V.M., D.D.S., Pharm.D., J.D.) **(Progress Card Measure)**.

# An Accountable University

**“... The regents shall make a report annually, to the Legislature ... exhibiting the state and progress of the University ... and such other information as they may deem proper, or may from time to time be required of them.”**

*—University charter, 1851 Territorial Statutes, Chapter 3, Section 16*

Since the University’s inception over 165 years ago, public and University leaders have established and continuously reaffirmed a principle of accountability. Accountability for an institution as important and complex as the University of Minnesota, however, has myriad forms and interpretations. For some, accountability requires a discussion about the University’s ability to address its mission. For others, accountability may necessitate a precise accounting of revenue and expenditures, an assurance of efficient and competent management of institutional resources, or records and institutional data about students and performance. Yet others may hold that accountability is best met by examining leadership and its ability to employ strategies that advance a vision. Still others understand accountability in terms of return on investment and so look for evidence of direct impact on the State of Minnesota and its citizens.

The University’s leaders take seriously this responsibility to be accountable, in all of the ways mentioned above. Among the participants engaged in the University’s accountability relationships are its Board of Regents, senior leaders and internal units, faculty, state and federal authorities, citizen and nonprofit organizations, accreditation associations, and multiple media organizations.

## University of Minnesota Board of Regents

Chapter 3 of Minnesota’s 1851 Territorial Statutes established the University of Minnesota and specified that “[t]he government of the University shall be vested in a board of twelve regents, who shall be elected by the legislature.” Later sections delineate

specific powers to “enact laws for the government of the University”; “regulate the course of Instruction” and confer degrees and diplomas; regulate and prescribe tuition and fees; and select, manage, and control all University lands.

These twelve regents—eight of whom are elected to represent Minnesota’s eight congressional districts and four elected at large—represent the interests and needs of the state and the citizens of Minnesota and, on their behalf, hold the University’s senior leadership accountable. The board’s fundamental accountability documents are the University Plan, Performance, and Accountability Report ([z.umn.edu/accountabilityreport](http://z.umn.edu/accountabilityreport)); the University Operating Budget ([finance.umn.edu/budget.html](http://finance.umn.edu/budget.html)); and the University Capital Budget ([finance.umn.edu/budget\\_capital.html](http://finance.umn.edu/budget_capital.html)).

Other accountability activities at this level include the president’s report to the regents at each of their regular board meetings, as well as monthly, quarterly, and annually mandated reports to the board on topics such as student admissions and progress, faculty promotion and tenure, tuition rates, the independent auditor’s report, real estate transactions, gifts, asset management, purchases of goods and services over \$1 million, new and changed academic programs, academic unit strategic plans, NCAA reports on student-athletes, and presidential performance reviews. Such reports and presentations are archived on the Board of Regents website.

## University Progress Card

In October 2015, the Board of Regents, in consultation with the administration, approved a Progress Card framework ([oir.umn.edu/planning-metrics/progress-](http://oir.umn.edu/planning-metrics/progress-)

card) to drive performance and support oversight. The development effort focused on identifying the areas in which the Board of Regents should set specific aspirational goals. The board's intent was to focus oversight on a limited number of measurable goals and trends that indicate or drive excellence, understanding that the University measures progress and accountability broadly throughout the institution in many ways, including the University's Plan, Performance, and Accountability Report.

The board has adopted a set of "gold" and "maroon" measures for the Progress Card. The gold measures represent data sources that are well understood and agreed upon, where there is the ability to set a quantifiable goal over a reasonable time period, and where the University can take actions to influence the results. The maroon measures are important trends and indicators, but the goals may be directional in nature or the measure may only need to be monitored, and University action alone is not likely to significantly influence the measure. The board's intent is to monitor these measures on a regular basis to assess University progress in these important areas.

All of these Progress Card measures are connected to and more deeply informed by the broader discussion of performance and accountability found in the rest of this report. See page 6 for the current Progress Card and Appendix E for data definitions.

## Major, University-level Accountability Activities

Senior leaders engage in reporting, communications, and other activities that address the University's accountability responsibility. Select examples include:

- The president's annual State of the University address;
- Government & Community Relations reports on the University's economic impact by county and legislative district ([govrelations.umn.edu/footprint/](http://govrelations.umn.edu/footprint/));
- Annual report of University research activity ([www.research.umn.edu/news/reports.html](http://www.research.umn.edu/news/reports.html));
- Annual accounting of student services fee allocations ([www.studentservicesfees.umn.edu](http://www.studentservicesfees.umn.edu));
- Public Engagement reports ([www.engagement.umn.edu/our-impact/reports](http://www.engagement.umn.edu/our-impact/reports));
- Institutional success and demographic data managed by the Office of Institutional Research ([www.oir.umn.edu](http://www.oir.umn.edu));
- Annual reports on real estate, sustainability, capital planning, and project management;
- Annual updates on energy management and utilities and facilities condition and utilization;
- Survey findings, including citizen, alumni, student, and employer satisfaction;
- University participation in higher education consortia, such as the Association of American Universities, Association of Public and Land-grant Universities, American Council on Education, and Big Ten Academic Alliance.

## Office and Program Reports

In addition to the major reports prepared by senior leaders for the Board of Regents and other audiences, offices and programs across the University produce reports or other accountability communications for an array of stakeholders. These include reports by University research centers, key administrative or student services areas, and annual reports to donors.

## Government and Other External Organization Requirements

The University provides a number of reports to the Minnesota Legislature and other organizations, including:

- Biennial Report to the Minnesota State Legislature, which showed that the University had exceeded all performance measures set forth by the Minnesota Legislature for fiscal year 2015;
- Postsecondary Planning: A joint report to the Minnesota Legislature by Minnesota State and University of Minnesota;
- Compliance reports to such agencies as the U.S. Department of Education, National Science Foundation, National Institutes of Health, U.S. Department of Agriculture, National Collegiate Athletic Association, University Institutional

Review Board, City of Minneapolis, Hennepin County, and Minnesota Office of Higher Education;

- Testimony to local, state, and federal governments;
- Assessment and evaluation reports to philanthropic foundations.

## Institutional and Program Accreditation

One tool that holds the University accountable for academic quality is accreditation. Accreditation is the process of assuring and advancing the quality of higher education institutions' campuses, departments, and programs through reviews by outside agencies. Two types of accreditation, with varied breadth, apply to the University.

The first type of accreditation reviews an entire higher education institution and its programs for quality. Each University of Minnesota campus operates with full accreditation at the institutional level by the Higher Learning Commission.

The Crookston, Rochester, and Twin Cities campuses were reviewed by the Higher Learning Commission in 2015, and were granted continued accreditation status. Among their reports, the reviewers stated that the University is “well supported by the Board of Regents,” that faculty are “deeply engaged in scholarship, teaching, and service,” and that “all sectors of the University are firmly committed to continuous improvement based on the results of internal and external evaluation processes.”

The second type of accreditation involves evaluations by a specialized accrediting body associated with a national professional organization or with a specific discipline. At the University, over 200 academic programs are accredited by bodies such as the American Bar Association, Accreditation Board for Engineering and Technology, National Association of Schools of Music, National Council for Accreditation of Teacher Education, and Accreditation Council for Graduate Medical Education.

To learn more about both types of accreditation at the University, see [provost.umn.edu/accreditation](http://provost.umn.edu/accreditation).

## Media and the General Public

Media organizations, such as the *Minnesota Daily*, *Pioneer Press*, *Star Tribune*, and MPR News, play an important role in holding the University accountable. The Minnesota Data Practices Act is a set of laws designed to ensure that the media and members of the general public have access to public records of government bodies at all levels in Minnesota. This access positions other parties to engage the University, to raise questions, and to verify information.

## The University Plan, Performance, and Accountability Report

As noted earlier, Board of Regents operations policy identifies this report as one of three fundamental accountability and planning documents. It reports on the University's effectiveness in fulfilling its mission, while the operating and capital budgets report on the University's fiscal management.

Specifically, the University Plan, Performance, and Accountability Report:

- articulates the mission and vision of the University;
- identifies critical issues and challenges confronting the University;
- illustrates and analyzes longitudinal trends in key areas;
- provides a means for comparisons with peer institutions; and
- identifies areas for continued work.

The pages that follow align with and connect to the mission of the University. Chapter 3 describes some of the planning under way at each campus to ensure future success and excellence. Chapters 4, 5, and 6 discuss the University's effectiveness in fulfilling the fundamental land-grant mission of teaching, research, and outreach. Chapters 7 and 8 address the University's effectiveness in supporting that mission by employing world-class faculty and staff and stewarding an outstanding organization.

# University Progress Card

## Gold Measures

Entering Year	Campus	2010	2011	2012	2013	Goal/Year	See page
4-year graduation rate	Crookston	42.5%	44.5%	46.5%	46.2%	45%/2017 cohort	59–60
	Duluth	38.2%	39%	38.9%	40.9%	45%/2017 cohort	47–48
	Morris	53.4%	52.6%	54.3%	48.9%	60%/2017 cohort	53–54
	Rochester	50%	63.1%	56.4%	60%	60%/2017 cohort	64–65
	Twin Cities	60.9%	63.3%	65.2%	68.4%	65%/2017 cohort	41–42
Entering Year		2008	2009	2010	2011	Goal/Year	
6-year graduation rate	Crookston	51.7%	48.4%	56.7%	58.9%	60%/2015 cohort	59–60
	Duluth	65.5%	66.5%	64.7%	65.1%	68%/2015 cohort	47–48
	Morris	73.5%	68.1%	69.1%	64.1%	80%/2015 cohort	53–54
	Rochester	NA	60%	62%	69.4%	60%/2015 cohort	64–65
	Twin Cities	78.7%	77.6%	78.9%	80.6%	82%/2015 cohort	41–42
Entering Year		2010	2011	2012	2013	Goal/Year	
4-year graduation rate of Pell-eligible students	System	43.9%	45.4%	47.4%	50.9%	54%/2017 cohort	33
		2014–15	2015–16	2016–17	2017–18	Goal	
Freshman average ACT	Twin Cities	27.9	28.2	28.3	28.4	>28.0	38
		2012–13	2013–14	2014–15	2015–16	Goal/Year	
Institutional gift aid	System	\$216M	\$223M	\$233M	\$246M	\$275M/2021	34
		FY2013	FY2014	FY2015	FY2016	Goal/Year	
R&D expenditures	Twin Cities	\$858M	\$877M	\$881M	\$910M	\$900M/2021	85
		FY2013	FY2014	FY2015	FY2016	Goal/Year	
Medical School ranking	Twin Cities/ Duluth	27	30	32	34	Top 20/2021	78
		2010–11	2011–12	2012–13	2013–14	Goal/Year	
Faculty awards N and (Rank: Public Universities)	Twin Cities	25 (10th)	33 (5th)	32 (6th)	26 (8th)	35+ (Top 10)/2021	105
		2013	2014	2015	2017	Goal/Year	
% Participation in Employee Engagement Survey	System	57%	64%	67%	71%	72%/2021	104
		FY2014	FY2015	FY2016	FY2017	Goal/Year	
Op-Ex—continued progress on \$90M	System	\$18.8M	\$40.4M	\$57.8M	\$68.4M	\$90M/FY19	111

See pages 3–4 for background on this Progress Card, and Appendix E for definitions of the measures.

# Maroon Measures

Strategic Focus	Campus	Performance Drivers/Outcomes	2011	2012	2013	2014	Goal	See page
Undergraduate Education	Twin Cities	Transfer student 3-year graduation rate	62.5%	61.4%	62.4%	64.6%	>65%	38
			<b>2013–14</b>	<b>2014–15</b>	<b>2015–16</b>	<b>2016–17</b>	<b>Goal</b>	
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Academic Excellence	Twin Cities	Citations per faculty member	127	126	124	133	>125	85
				<b>2000–05</b>	<b>2005–10</b>	<b>2010–15</b>	<b>Goal</b>	
	System	National scholarships awarded to students		31	52	75	>80 from 2015–2020	34
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Operational Excellence	System	Spending on leadership & oversight vs. mission and mission support (%)	8.3%	8.1%	8.1%	8.3%	Decrease over time	111
	System	GSF in poor or critical condition (facility condition assessment)	7.61M	7.73M	8.32M	8.43M	Decrease over time	112
	System	Sustainability—Metric tons of greenhouse gasses (2008 base level: 703,311)	626,599	603,504	592,269	571,595	50% reduction from 2008 levels by 2021 (351,656)	112
	System	Credit rating	Aa1	Aa1	Aa1	Aa1	Maintain per Board policy	110–111
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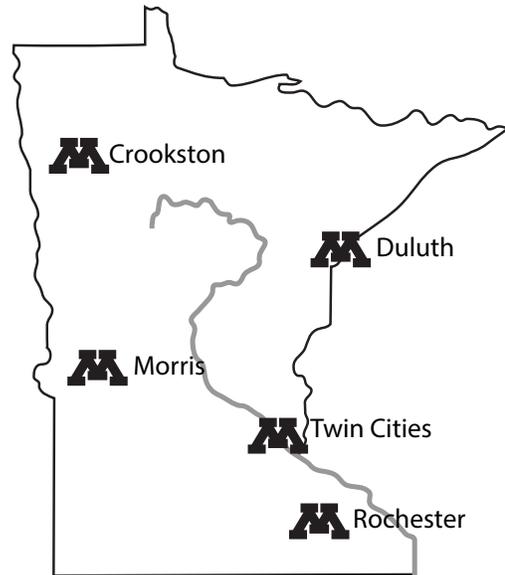
# Planning for Success

The distinctiveness of the University’s five campuses and the comprehensive and distributed nature of the system allow the University of Minnesota to be greater than the sum of its parts. Each campus has an individual history and strategy for contributing to the University’s mission and vision in the way that best serves its students, the region, and the state. Together, the Crookston, Duluth, Morris, Rochester, and Twin Cities campuses encompass a rich variety of academic departments and degree programs, all of them essential components of the University system.

In fall 2017, President Kaler charged a Systemwide Strategic Planning Oversight Committee (SPOC) to lead the development of system priorities in focus areas that align with the University’s mission and Systemwide Strategic Framework: Teaching & Learning; Research & Discovery; Outreach & Public Service; Medicine & Health; and Supporting the Mission.

This work will build on last year’s efforts to develop the framework, approved by the Board of Regents in June 2017. While the first phase highlighted ways to better connect, leverage, and align the system’s distinctive statewide resources, the 2017–2018 efforts will focus on the development of an academic program investment strategy and a long-term financial framework. Kaler has asked the SPOC to promote diversity and inclusive excellence across all focus areas in development of the Systemwide Strategic Plan.

The strengths of each campus complement one another and contribute to meeting the educational and workforce needs of the state. The following sections summarize how each campus is planning for success in achieving the University’s mission summarized on page 1. Links to comprehensive campus strategic planning documents are listed in Appendix A.





# Twin Cities Campus

## Founded

1851

## Leadership

Eric W. Kaler, President

Karen Hanson, Executive Vice President and Provost

## Colleges and Schools

- Carlson School of Management
- Center for Allied Health Programs
- College of Biological Sciences
- College of Continuing and Professional Studies
- College of Design
- College of Education and Human Development
- College of Food, Agricultural and Natural Resource Sciences
- College of Liberal Arts
- College of Pharmacy
- College of Science and Engineering
- College of Veterinary Medicine
- Humphrey School of Public Affairs
- Law School
- Medical School
- School of Dentistry
- School of Nursing
- School of Public Health

## Degrees/Majors Offered

150 undergraduate degree programs; 183 master's degree programs; 108 doctoral degree programs

## Student Enrollment (Fall 2017)

Undergraduate	31,535	(61%)
Graduate	12,525	(24%)
Professional	3,508	(7%)
Non-degree	4,191	(8%)
<b>Total</b>	<b>51,759</b>	

## Employees (Fall 2017)

Direct Academic Providers	6,943	(29%)
Fellows, Trainees, and Students in Academic Jobs	6,258	(26%)
Higher Education Mission Support	3,903	(16%)
Intercollegiate Athletics	137	(1%)
Facilities-related Jobs	1,355	(6%)
Organizational Support	4,573	(19%)
Leadership	986	(4%)
<b>Total Employees</b>	<b>24,155</b>	

## Degrees Awarded (2016–17)

Bachelor's	7,807	(60%)
Master's	3,475	(27%)
Doctoral and Professional	1,682	(13%)
<b>Total</b>	<b>12,964</b>	

## Campus Physical Size (2017)

<i>Minneapolis</i>		
Number of Buildings		164
Assignable Square Feet		11,135,080
<i>St. Paul</i>		
Number of Buildings		99
Assignable Square Feet		2,509,968

## Budget Expenditures (FY2017)

\$3.4 billion

## Planning at the University of Minnesota Twin Cities

The Twin Cities campus is in year four of implementing “Driving Tomorrow,” its ten-year strategic plan to accelerate advancement of excellence and impact in research, teaching, and outreach.

Approved by the Board of Regents in fall 2014, the plan builds on the strengths of the campus as Minnesota’s globally engaged research university and one of few major land-grant research institutions situated in a major metropolitan area. The plan recognizes the special opportunities and responsibilities the campus has to innovate and lead through transformative research and teaching engaged with the most pressing and complex challenges of the state of Minnesota and the world.

The plan frames many actions the campus will take over the next decade to fulfill its distinctive responsibilities as Minnesota’s land-grant university, dedicated to serving the public good; and as the state’s designated research institution, charged with positioning Minnesota at the forefront of emerging knowledge and educating highly skilled workers, professionals, leaders, and global citizens to thrive in a diverse and changing world.

### Strategic Priorities

The Twin Cities campus strategic plan was developed with broad input by a campus-wide work group and extended teams of faculty, staff, and students. The plan includes four supporting goals for advancing the quality, impact, and reputation of the University’s flagship research campus. Many initiatives and collaborations are under way to implement the plan across the four goal areas:

- **Build an exceptional university that leverages its research and curricular strengths for powerful impact on grand societal challenges.** Develop and support more ambitious and innovative collaborations across disciplines as well as through new learning and career pathways that prepare students to be outstanding leaders, innovators, and global citizens.
- **Reject complacency to foster an invigorated campus culture of ambition, challenge, exploration, and innovation.** Create a more nimble and integrative university to better serve our students and state; support highest expectations in all aspects of our mission.
- **Recruit and retain the best field-shaping researchers and teachers spanning diverse disciplines and backgrounds.** Make Minnesota a magnet for diverse high achievers and innovators who will advance excellence in research, outreach, and engagement and provide world-class educational experiences for graduate, professional, and undergraduate students.
- **Capitalize on the campus’s unique location and its global reach to build a culture of reciprocal engagement.** Expand partnerships and shared purposes to benefit the state and our students, strengthen community, and deepen Minnesota’s connections around the globe.

### Implementation Steps and Progress

To implement the plan as a broad-based framework for institutional reinvigoration, the campus has made its goals central to the compact planning and budget planning processes that shape academic directions and strategic investment decisions. Colleges and departments across the campus are working in a variety of ways to align and integrate the plan with core research, teaching, and outreach activities. The plan’s strategic priorities have also been incorporated into work plans in the central administrative areas of undergraduate education, graduate and professional education, faculty and academic affairs, student affairs, equity and diversity, human resources, and others.

Collaborations during the first years of implementation have yielded specific campus accomplishments across the four goal areas, and progress has been made on larger institutional transformations.

### Curricular and Research Transformations

The campus has placed special emphasis on jumpstarting curricular and research goals as key components of the larger vision for institutional reinvigoration and excellence. To more powerfully marshal exceptional research strengths spanning multiple disciplines, a slate of priority “Grand Challenges” has been established through a faculty-

driven process. Criteria include global impact and local relevance, extent of existing faculty strength and leadership, disciplinary diversity, interconnection with education and external partners, and other criteria outlined in the strategic plan. The slate of challenges highlights five areas where the University is positioned for great impact: assuring clean water and sustainable ecosystems; fostering just and equitable communities; enhancing individual and community capacity for a changing world; feeding the world sustainably; and advancing health through tailored solutions.

The Provost's Grand Challenges Research Initiative has reallocated internal resources to expand ambitious research collaborations in these areas. Phase 1, announced in fall 2016, invested a total of \$3.6 million in 29 team projects aimed at strengthening food sustainability, closing health disparities, mitigating water pollution, promoting healthy child development, and addressing other critical issues. The teams spanned nearly 200 researchers and scholars across 17 colleges and schools, along with external partners. Phase 2, announced in fall 2017, made internal investments of \$3.7 million for six large-scale research projects and two innovative research collaboratives focusing on challenges in two spotlighted areas, assuring clean water and sustainable ecosystems and fostering just and equitable communities. These collaborations will provide learning and research opportunities for undergraduate and graduate students, strengthen opportunities for competitive outside funding, and lead to new strategies to support and sustain innovative and ambitious research benefiting students and the public.

The Driving Tomorrow investments are synergistic with the systemwide strategic research goals of the Office of the Vice President for Research and complement publicly engaged work already under way at the University, such as MnDRIVE initiatives on food and the environment, Academic Health Center initiatives, and interdisciplinary collaborations to foster vibrant communities. The expanded initiatives also dovetail with ongoing efforts by colleges and departments to build productive collaborations across structural and disciplinary boundaries.

A Grand Challenges Curriculum also has been launched, with courses focusing on foundational competencies students can apply across a range of

topics. The solution-driven courses, team taught by cross-disciplinary instructors, immerse students in the critical thinking and discovery that are central to the University's educational mission. The innovative courses address issues with both local and global relevance and integrate diverse expertise, methods, and perspectives. Topics have ranged from fracking to global hunger to reconciliation and justice.

The undergraduate-level Grand Challenge courses are constructed to fulfill one of the current liberal education theme requirements (civic life and ethics, diversity and social justice, environment, global perspectives, technology and society). Along with the development of related minors and theme courses, the Grand Challenges Curriculum opens up important learning and career opportunities for students. These curricular innovations also will inform faculty consideration of new approaches to liberal education requirements.

### **Ongoing and Emerging Initiatives**

In addition to making progress on curriculum and research goals, the campus is moving forward to achieve the other components of the plan. Priority initiatives focus on strongly supporting faculty excellence across the career span; building a broad-based public engagement agenda; advancing equity, diversity, and a vibrant and inclusive campus community; and strengthening opportunities and practices that harness the full collaborative potential of a comprehensive research campus.

The strategic plan for the Twin Cities campus will be connected with the plans of the Crookston, Duluth, Morris, and Rochester campuses as part of the overarching strategic framework for the excellence of the University of Minnesota system. University leaders will continue to engage both campus and external stakeholders in discussing progress toward goals and in refining the framework as a dynamic roadmap for the future.

### **Comparison Group Institutions**

To assist with campus planning and assessing success, the Twin Cities campus has identified ten public research universities for primary comparison. While these institutions are among the most similar in size and complexity to the Twin Cities campus and the

best available for comparison, the institutions have significant differences that should be noted. Table 3-1 shows the variance among the eleven schools across type, scope, size, and students.

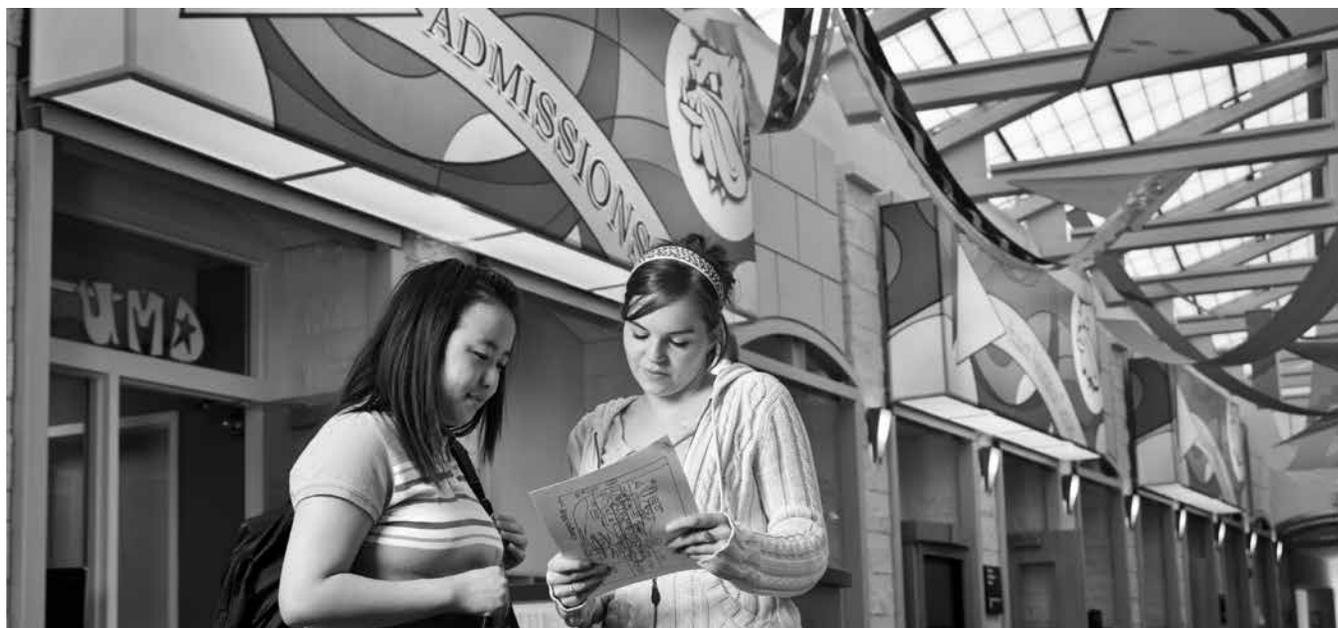
Notably, the Twin Cities campus comparison group includes the very best public research universities in the United States. In using this peer group as a benchmark, the University intentionally measures itself against the highest standards in the nation.

**Table 3-1. Comparison group institutions, Twin Cities campus**

Institution	TYPE			SCOPE				SIZE			STUDENTS			
	Land Grant	City Size (2)	State Pop. (3)	Institution Includes:				Enrollment (9)		Faculty (10)	R&D (11)	ACT 25 <sup>th</sup> -75 <sup>th</sup> Percentiles (12)	Percent in-state (13)	
				Agricult. College	Law School	Med. School	Hospital	Under-grad.	Grad. & Prof.					
Ohio State U.–Columbus	●	Large	11.5	●	●	●	●	58,663	41,131	13,374	2,386	\$818	26.7-31.0	69%
Penn. State U.–University Park	●	Small	12.7	●	○(4)	○(5)	○(5)	47,307	40,179	6,565	1,608	\$828	24.2-29.0	NR
U. of California–Berkeley	●(1)	Mid-size	37.3		●			38,189	27,496	10,693	1,381	\$774	28.8-34.0	70%
U. of California–Los Angeles	●(1)	Large	37.3		●	●	●	41,908	29,581	12,323	1,688	\$1,038	26.8-33.0	73%
U. of Florida–Gainesville	●	Mid-size	18.8	●	●	●	○(6)	50,645	32,376	17,243	1,981	\$791	26.4-30.4	84%
U. of Illinois–Urbana-Champaign	●	Small	12.8	●	●	●	○(7)	45,842	32,170	12,474	1,799	\$625	26.5-31.5	73%
U. of Michigan–Ann Arbor		Mid-size	9.9		●	●	●	43,651	28,120	15,339	2,744	\$1,436	29.0-33.2	58%
<b>U. of Minnesota–Twin Cities</b>	●	<b>Large</b>	<b>5.3</b>	●	●	●	○(6)	<b>50,678</b>	<b>30,511</b>	<b>16,607</b>	<b>2,191</b>	<b>\$910</b>	<b>26.0-31.2</b>	<b>63%</b>
U. of Texas–Austin		Large	25.1		●	○(8)	○(8)	50,950	39,057	11,331	1,855	\$622	26.0-32.0	87%
U. of Washington–Seattle		Large	6.7		●	●	●	45,408	30,022	14,345	2,554	\$1,278	24.6-31.0	63%
U. of Wisconsin–Madison	●	Mid-size	5.7	●	●	●	●	42,716	29,579	11,725	1,982	\$1,158	26.8-31.2	57%

1 The U.C. System is the land-grant university of California.  
 2 City size estimates, U.S. Census Bureau, 2010.  
 3 State population in millions, U.S. Census Bureau, 2010.  
 4 The Penn State U. Law School is located on the Dickinson campus.  
 5 The Penn State U. Medical School is located on the Hershey campus.  
 6 Hospital affiliated with but not owned by campus.  
 7 The U. of I. Medical Center is located on the Chicago campus.  
 8 The U. of T. medical programs are located on several other campuses.  
 9 Fall 2015 enrollment. Total enrollment includes non-degree-seeking students; undergraduate enrollment includes only degree-seeking students. Integrated Postsecondary Data System.

10 Fall 2015 full-time instructional faculty that are tenured/tenure track. Integrated Postsecondary Education Data System.  
 11 Fiscal year 2016 higher education R&D expenditures in millions. National Science Foundation, Higher Education Research Survey.  
 12 Fall 2015 ACT test scores of first-time degree-seeking students; SAT scores were converted to ACT scores using the College Board ACT and SAT Concordance. Integrated Postsecondary Education Data System.  
 13 Fall 2015 percentage of first-time undergraduates who are state residents; residency is required reporting in even years. Integrated Postsecondary Education Data System.



# Duluth Campus

## Founded

1895—State Normal School at Duluth  
 1921—Duluth State Teachers College  
 1947—University of Minnesota Duluth

## Campus Leadership

Lendley (Lynn) Black, Chancellor

## Colleges and Schools

College of Education and Human Service Professions  
 College of Liberal Arts  
 Continuing Education  
 Labovitz School of Business and Economics  
 School of Fine Arts  
 Swenson College of Science and Engineering

## Academic Partnerships

College of Pharmacy  
 Medical School

## Degrees/Majors Offered

14 bachelor's degrees in 92 majors; two-year program at the School of Medicine and College of Pharmacy; 25 graduate programs; participates in three all-University doctoral programs

## Student Enrollment (Fall 2017)

Undergraduate	9,199	(82%)
Graduate	669	(6%)
Professional*	352	(3%)
Non-degree	948	(8%)
<b>Total</b>	<b>11,168</b>	

\*Granted by Twin Cities campus, delivered at Duluth campus.

## Employees (Fall 2017)

Direct Academic Providers	670	(35%)
Fellows, Trainees, and Students in Academic Jobs	246	(13%)
Higher Education Mission Support	275	(14%)
Intercollegiate Athletics	47	(2%)
Facilities-Related Jobs	175	(9%)
Organizational Support	412	(22%)
University Leadership	79	(4%)
<b>Total Employees</b>	<b>1,904</b>	

## Degrees Awarded (2016–17)

Bachelor's	1,902	(90%)
Master's	196	(9%)
Doctoral	5	(<1%)
<b>Total</b>	<b>2,103</b>	

## Campus Physical Size (2017)

Number of Buildings	81
Assignable Square Feet	1,889,383

## Budget Expenditures (FY2017)

\$270 million

# Planning at the University of Minnesota Duluth

## Strategic Planning

The University of Minnesota Duluth (UMD) Strategic Plan approved in 2011 is the product of a campus-wide, collaborative process involving faculty, staff, and students as well as Duluth community leaders. Through that process, the campus developed a revised mission, vision, core values, and six major goals. Since 2011, UMD's Strategic Plan has served as a roadmap to focus campus efforts on key priorities.

In recognition that the campus and the external environment have changed in recent years, UMD began a process in spring 2017 to review and renew the campus strategic plan. This process involved the input of administrators, faculty, and staff across campus within three primary sets of activities: 1) reflecting upon the current strategic plan, 2) analyzing the internal and external environments, and 3) visioning toward the future.

## Reflecting on the Current Plan

Reflections of what the campus learned from the development and implementation of the 2011 Strategic Plan were used to identify positive qualities and areas for possible improvement. First, results from a campus-wide employee survey showed the six campus goals remain relevant and important. Second, input from focus group sessions and interviews of individuals and groups directly involved in the 2011 planning process and other strategic initiatives generated additional insights. The responses reinforced the importance of clearly articulated action plans, ongoing communications to the campus, and establishment of performance indicators as part of the strategic plan.

This process of critical reflection and continuous improvement served as a primary component of UMD's Quality Initiative under the Open Pathway requirements for Higher Learning Commission accreditation. The Quality Initiative Report was submitted in August 2017 in preparation for the campus's comprehensive review scheduled for April 2018. The report demonstrates that UMD is

a data- and evidence-driven institution, committed to continuous quality improvement and the serious engagement in examining programs and services to optimize their impact and focus campus resources to best serve students and campus constituencies. Evidence of this includes the budgeting and allocation process that increasingly tracks enrollment trends and the redistribution of resources to serve students in more precise ways to assure their persistence and success across all five of UMD's academic colleges.

## Analyzing Environments

During the spring semester, a task force conducted an environmental analysis based on current data and emerging trends to identify UMD's strengths and weaknesses as well as potential opportunities and threats. The task force, led by a senior member of the Management Studies faculty, included representation from all vice chancellor divisions as well as faculty and staff governance representatives. The report identified several opportunities to build upon UMD's strengths.

## Visioning the Future

Faculty and staff from across campus attended open forums in April 2017 to generate ideas for a new campus vision and strategic objectives. Primary themes that emerged from the sessions include an ongoing interest in experiential and active learning approaches to undergraduate and graduate education, a focus on the environment surrounding UMD, and a commitment to partnering with external constituents to make a positive difference in our community. A key theme that emerged is that UMD has considerable strengths as a regional asset across many sectors, including the arts, community development, and economic development.

The shared-governance Strategic Planning & Budget Committee will review the reports and input summarized above to generate recommendations, and an updated strategic plan will be finalized by the end of the fall 2017 semester. This plan will guide campus decision-makers for the next three to five years on key initiatives, including program prioritization and academic program optimization.

### Program Prioritization

UMD is engaging in a formalized program prioritization process during the 2017–18 academic year to review the demand, resources, opportunities, and challenges for each undergraduate major, graduate program, and credit-bearing certificate. Campus objectives include strategically strengthening the educational program array; positively impacting student enrollment, persistence, and completion rates; and reallocating resources in a fiscally responsible manner.

Data from the most recent eight years will be used to evaluate trends in enrollment and student credit hours as well as cost of instruction. Additional data will be used to evaluate external demand through alignment with the campus's student profile and the needs of the region and state. Program prioritization results will identify at-risk academic programs that could be discontinued and programs that have growth potential for possible future investments.

The prioritization process will yield key data points that will populate an institutional dashboard and allow the campus to more readily assess progress towards benchmarks and make critical decisions about resource deployment and areas of emphases.

### Academic Program Development and Optimization

As an extension of program prioritization, increased attention is being paid to the development of new programs. Enhancing due diligence in creating programs ensures collegiate units make strategic requests that align with their current resource base. The process requires greater intentionality to identify academic programs that better serve the region and the state as part of the University system. The process also recognizes that in instances where new resources are not available, implementing a new program may require discontinuing another.

Program optimization is a set of ongoing activities designed to enhance the efficiencies of existing academic programs. A challenge of optimization will be to move through current practices that do not serve the best interest of students, the department, the collegiate unit, and/or the campus. However, taking a broad stakeholder approach and considering

the needs of multiple groups allows decision-makers opportunities to improve their programs and fulfill UMD's obligations to provide high-quality education and attain performance goals.

### Building Academic Quality and Rigor

In reviewing UMD's academic programs, several themes have emerged. The campus has many high-quality undergraduate and graduate programs. This perception was validated by external program reviews and disciplinary accreditation reviews. Graduate outcomes are key measures of the quality of UMD's academic programs. The employment rate for graduates of UMD remains in the very high 90th percentile, and external advisory boards rate UMD graduates' preparation, both academically and socially, very high.

An important feature of external advisory boards is engagement with professionals in various fields. UMD's academic colleges increasingly leverage their professional and academic networks to receive feedback on academic programs, learning outcomes, and the preparation of students. These interactions are part of the continuous quality-improvement culture and help the campus understand how to best deploy resources to develop and support academic programs that are intellectually strong, professionally relevant, and consonant with UMD's mission, vision, and strategic plan.

### Comparison Group Institutions

For purposes of planning and assessment, the Duluth campus revised its peer list in recent years to include eleven higher education institutions as the primary group for comparison. These institutions are listed in Table 3-2 and were identified based on their similar academic programs, enrollment, degrees awarded, research activities, and their Carnegie Classification as Master's Medium Programs.

**Table 3-2. Comparison group institutions, Duluth campus**

	TYPE			SIZE	STUDENTS		
	Institutional Control	City Size	Highest Degree Offered	Total Enrollment <sup>1</sup>	Percent Degree-seeking Undergrads <sup>2</sup>	Percent Full-time <sup>3</sup>	Percent In-state <sup>4</sup>
CA Poly. State U.–San Luis Obispo	Public	Small	Master's	20,944	95%	96%	81%
Col. of Charleston	Public	Mid-size	Post-Master's Certificate	11,531	87%	95%	56%
Minnesota State U.–Mankato	Public	Small	Doctorate	15,313	80%	89%	NR
South Dakota State U.	Public	Small	Doctorate	12,576	78%	87%	55%
Southern Illinois U.–Edwardsville	Public	Mid-size	Doctorate	14,265	82%	85%	85%
U. of Mass.–Dartmouth	Public	Mid-size	Doctorate	8,916	79%	88%	95%
U. of Michigan–Dearborn	Public	Large	Doctorate	9,066	76%	71%	NR
<b>U. of Minnesota–Duluth</b>	<b>Public</b>	<b>Large</b>	<b>Doctorate</b>	<b>10,878</b>	<b>82%</b>	<b>95%</b>	<b>87%</b>
U. of North Carolina–Charlotte	Public	Large	Doctorate	27,983	81%	87%	92%
U. of Northern Iowa	Public	Mid-size	Doctorate	11,981	83%	91%	91%
Western Michigan U.	Public	Mid-size	Doctorate	23,529	77%	84%	87%
Western Washington U.	Public	Mid-size	Post-Master's Certificate	15,332	94%	92%	86%

<sup>1</sup>Fall 2015 enrollment. Total Enrollment includes non-degree-seeking students.

<sup>2</sup>Fall 2015 percentage of total enrollment composed of degree-seeking undergraduate students.

<sup>3</sup>Fall 2015 percentage of degree-seeking undergraduate students who are enrolled full time.

<sup>4</sup>Fall 2015 percentage of first-time students who are state residents; residency is required reporting biennially in even years.

Source: Integrated Postsecondary Data System



# Morris Campus

## Founded

1910—University of Minnesota, West Central School of Agriculture  
 1960—University of Minnesota Morris

## Campus Leadership

Michelle Behr, Chancellor

## Divisions

Education Division  
 Humanities Division  
 Science and Mathematics Division  
 Social Sciences Division

## Degrees/Majors Offered

34 undergraduate degree programs; 9 pre-professional programs

## Student Enrollment (Fall 2017)

Undergraduate	1,554	(96%)
Non-degree	73	(4%)
<b>Total</b>	<b>1,627</b>	

## Employees (Fall 2017)

Direct Academic Providers	161	(37%)
Fellows, Trainees, and Students in Academic Jobs	1	(<1%)
Higher Education Mission Support	73	(17%)
Intercollegiate Athletics	24	(6%)
Facilities-Related Jobs	51	(12%)
Organizational Support	105	(24%)
University Leadership	16	(4%)
<b>Total Employees</b>	<b>431</b>	

## Degrees Awarded (2016–17)

Bachelor's	367
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## Campus Physical Size (2017)

Number of Buildings	36
Assignable Square Feet	599,467

## Budget Expenditures (FY2017)

\$58 million

## Planning at the University of Minnesota Morris

The Morris campus's strategic plan was approved through its governance system in 2007 and has served as a guiding framework for campus initiatives since then. In fall 2017, the campus began work on a new strategic plan—imagining and then creating the University of Minnesota Morris of the future. The recruitment and retention of talented students committed to a rigorous liberal arts environment is an important area of planning. Morris is also actively engaged in the University's Systemwide Strategic Planning work groups and processes.

### Enrollment Goals

The Morris campus operates in a highly competitive market for undergraduate students, competing with private liberal arts colleges and other Minnesota public universities for undergraduate students. In this challenging environment, Morris has worked strategically to sustain its enrollment of about 400 talented new first-year students and 100 transfer students each year.

Morris campus enrollment planning includes exploration of multiple collaborations to increase student access to Morris, including transfer pathways and articulation agreements with local community colleges. Aligned with the Systemwide Strategic Plan Framework, the campus is seeking more intentional pathways from Morris into University of Minnesota professional and graduate degree programs as an undergraduate recruitment and retention strategy. Seventy-one percent of new Morris students indicate the intent to pursue post-baccalaureate study, and Twin Cities graduate and professional programs find Morris degree holders to be well prepared for such study.

The Morris campus has increased the number of American Indian students and students of color (now 31 percent of degree seekers) to provide a rich learning environment reflective of the growing diversity in Minnesota and the United States. Morris has also continued to increase and support the enrollment of international students (now eleven percent of the degree-seeking student population) to further diversify the student body as the campus prepares graduates to be global citizens.

### National and International Profile

The Morris campus has elevated its national profile as a public liberal arts college; this is evidenced by national rankings and by its receipt of several prestigious and highly competitive grants—a Howard Hughes Medical Institute Grant to promote the success of students in biology; a foundation grant to develop a leadership program with an emphasis on sustainability; and three multi-year U.S. Department of Education awards: TRIO Student Support Services and Ronald E. McNair Post-Baccalaureate Achievement Program grants as well as a Native American Serving Non-tribal Institutions grant.

In addition, the Morris campus has become a national leader in sustainability—a model community for renewable energy and sustainable living. The campus is striving to achieve the goal of carbon neutrality by 2020, primarily through the on-site generation of heat and power. In 2015, the Morris campus was named by the U.S. Environmental Protection Agency as a top-30 national organization for the on-site generation of power. On average, 70 percent of campus electricity comes from two industrial-scale wind turbines on the Pomme de Terre riverbank overlooking the campus; the combined heating and cooling system uses local biomass to heat and cool the campus and puts money back into the local economy. Solar panels warm the recreational swimming pool and provide energy required for the new Green Prairie Community residence hall. A recent grant addresses the next frontier of renewables by exploring large-scale storage for wind- and solar-produced energy.

With the support of the University's Institute on the Environment and the Minnesota Department of Trade, the Morris campus's leadership in building model platforms for sustainability and on-site generation of renewable energy is increasingly recognized internationally. The campus and Morris community are founding members of the Climate Smart Municipalities project, an international program linking five Minnesota cities to five German cities. The partnership between the city of Morris and the city of Saerbeck in North Rhine Westphalia, Germany, allows leaders to share ways to build a more sustainable future. In summer 2017, the partnership between the Morris campus, the Duluth campus, and the Institute on the Environment resulted in an energy

storage learning tour of the west coast with leadership from the State of Minnesota’s Public Utilities Commission, Department of Commerce, Pollution Control Agency, and Department of Administration. These projects have led to national and international conference presentations.

### **Resilient Communities**

The Morris campus, West Central Research and Outreach Center, and other University of Minnesota partners are working with the city of Morris and Stevens County to expand the sustainable and renewable energy platforms piloted on campus into the Morris community. Development of the Morris Model, a small city plan for building a future of self-sufficiency and resiliency, will demonstrate to other communities the path towards a more responsive and carbon-reduced future. From distributed energy platforms to a new partnership with the Morris Area schools that expands the campus composting initiative, Morris is planning for a sustainable future.

### **Facilities Renovation**

*21st-century learning on a historic campus:* The core of the Morris campus is designated as a National Historic District, which recognizes the nation’s only remaining intact campus from an experiment to offer agricultural boarding high schools in rural areas from 1910 to the 1960s. While many of the Morris campus’s historically significant buildings have been updated to beautifully serve the liberal arts campus’s current mission, others pose maintenance and improvement challenges. Many are in “critical” condition according to the University’s facility analysis. The Morris campus has crafted a plan that combines campus resources, HEAPR funds, and repair and renovation funds to begin incremental modifications of some of these buildings, including HVAC upgrades and the recent addition of an elevator for greater accessibility.

*21st-century library:* Constructed in 1967, the Morris library remains virtually unchanged and is in need of dramatic renovation to improve access, to recognize the shift from print to digital sources, and to meet the unique needs of 21st-century learners. The campus has completed a predesign plan to transform the library into a learning commons, which would provide a technology-rich environment for students that supports collaboration and creativity.

*Wellness center:* The Morris Physical Education Center was built in 1970 prior to the adoption of Title IX, at a time when only men’s sports were emphasized. The facility is not able to support the many female and male athletes who participate in the Morris campus’s 19 NCAA Division III sports programs, and it does not compare favorably to facilities of peer institutions, conference competitors, or other colleges considered by prospective students. A pre-design shows the promise of a renovated facility and new fieldhouse addition to meet Title IX requirements, support student recruitment and persistence, refocus on student wellness and success, and better serve the region.

### **Expanding the Living/Learning Laboratory**

West Central Minnesota provides a rich laboratory for finding solutions to a number of “grand challenges” that face the region and the nation. From invasive species to the impact of climate change to sustainable agriculture, the size and location of the Morris campus positions it as a resource to address these issues. With private support, the Morris campus has completed preliminary work for the creation of an outdoor classroom. In recognition of Morris’s national leadership in sustainability and environmental education, a recent gift of 140 acres in Ottertail County provides another opportunity for research, reflection, and discovery dedicated to environmental stewardship. This space, named the Ecostation, will foster a culture of exploration and innovation while helping students develop an appreciation of and respect for the environment.

### **Faculty Recruitment and Retention**

Morris is a destination for faculty who believe in the University of Minnesota’s mission and vision and who care deeply about undergraduate students. Morris faculty members have been significantly assisted by systemwide resources that have supported their research and helped them address the relative distance of Morris from major research facilities and the airport. These resources have proven a major factor in recruiting and retaining faculty, as has the systemwide pre-doctoral diversity fellowship, which has helped to diversify the faculty. Recruitment and retention of American Indian faculty and faculty of color remain a priority as the diversity of Morris faculty and staff

lags behind that of its diverse student population. The campus continues to prioritize the development of community among existing faculty, 30 percent of whom were hired in the last decade.

### Student Retention Initiative

The Morris campus's value proposition is strong, supported by the campus's place in the market alongside much more expensive private liberal arts colleges and by the advantages of being part of the University of Minnesota system. Retaining new students and moving them toward graduation are among the campus's highest priorities. Morris staff and faculty have worked tirelessly to bolster first-year student engagement, success, and persistence. In spite of these efforts, recent first-to-second-year retention rates have fallen short of the campus's 90 percent goal. In fall 2017, Morris will begin a multi-year campus-wide effort focused on increasing first-year student retention. The three components of the initiative are: conducting a systematic, integrated assessment of the large suite of existing first-year retention efforts; utilizing University system resources to develop and implement a new program and service model to foster student mental health and wellbeing; and making participation in high-impact practices—a hallmark of the Morris experience—more explicit, available, and accessible to first-year students. These efforts jointly address known risk factors and areas of promise for student learning, success, and persistence.

The Morris campus's recent support for retention, enrichment, and mental health initiatives includes:

- securing system funding to support a new model for engaging students to foster **greater mental health and wellbeing** (2017);
- appointing a **Retention Working Group** (2017);
- expanding **New Student Orientation** from three to four days and adding academic content (2017);
- piloting a **student employment initiative** based on data showing a ten percent increase in student persistence for those who work on campus in their first year (2016);
- providing **student success coaches** (piloted 2012–2015 with students from historically underrepresented populations and expanded to all students in 2016);
- creating and implementing the student leadership development program **Morris LEADS** (2016);
- adding time with **faculty academic advisors** during Orientation (2016);
- securing a **TRIO Student Support Services project** to close achievement gaps for first-generation, low-income students (2015);
- creating a **Native American Student Success program** with U.S. Department of Education grant funds (2015);
- establishing a faculty and staff fellows group to create a **Sustainability Leadership certificate** (2015);
- enhancing **communication materials** for new students and their families (2015);
- changing the **advisor assignment process** for students not yet committed to a major (2015);
- increasing coordination across academic advising, academic assistance, disability services, and retention support by creating the **Office of Academic Success** (2015);
- fostering more personal relationships with peers, advisors, and faculty by implementing **peer mentoring** for first- and second-year students and those most at risk (2013–2015);
- expanding data-analysis capacity by hiring a **Senior Director of Institutional Effectiveness** (2015);
- requiring small classes for all students in their first year through **Writing for the Liberal Arts** (2014) and **Intellectual Community** (2010) programs;
- incorporating more relevant information and activities in **New Student Registration** (2014);
- creation of the **Academic Center for Enrichment (ACE) Council**—faculty advocates for engagement in high-impact practices (e.g., study abroad, undergraduate research, honors) (2014);
- creating a **full-time study abroad advisor** position (2014);
- increasing **academic assistance capacity** (2014);
- increasing **disability resource center** capacity (2013);
- improving advisor training and peer support (**Faculty Master Advisor program**, 2012);

- providing more integrated student support (**One Stop**, established 2012); and
- implementing an **academic alert system** to capture and respond to faculty observations of at-risk student behaviors (2004, enhanced in 2011).

This initiative provides an opportunity to assess the efficacy of these efforts, and results will provide a foundation for enhancing and strengthening the first-year student experience on the Morris campus.

### Comparison Group Institutions

For planning purposes, the Morris campus has identified 15 higher education institutions as its comparison group (Table 3-3). These comparable and aspirational peer institutions come closest to aligning with the Morris campus’s distinctive identity as a public liberal arts college.

**Table 3-3. Comparison group institutions, Morris campus**

	TYPE			SIZE	STUDENTS		
	Institutional Control	City Size	Highest Degree Offered	Total Enrollment <sup>1</sup>	Percent Degree-seeking Undergrads <sup>2</sup>	Percent Full-time <sup>3</sup>	Percent In-state <sup>4</sup>
Albion Col.	Private	Small	Bachelor’s	1,376	99%	100%	NR
Coe Col.	Private	Small	Bachelor’s	1,411	95%	99%	NR
Concordia Col.–Moorhead	Private	Mid-Size	Master’s	2,177	97%	99%	NR
DePauw U.*	Private	Small	Bachelor’s	2,265	98%	100%	39%
Gustavus Adolphus Col.*	Private	Small	Bachelor’s	2,379	100%	99%	77%
Kalamazoo Col.*	Private	Mid-Size	Bachelor’s	1,443	98%	99%	NR
Lycoming Col.	Private	Mid-Size	Bachelor’s	1,285	98%	100%	54%
Macalester Col.*	Private	Large	Bachelor’s	2,172	99%	99%	15%
Mass. Col. of Liberal Arts	Public	Small	Master’s	1,641	87%	89%	70%
St. Mary’s Col. of Maryland	Public	Small	Master’s	1,735	97%	98%	93%
St. Olaf Col.*	Private	Small	Bachelor’s	3,046	99%	100%	NR
SUNY at Purchase Col.	Public	Small	Master’s	4,169	94%	93%	78%
U. of Virginia’s Col. at Wise	Public	Small	Bachelor’s	2,027	69%	95%	93%
U. of Maine–Farmington	Public	Small	Master’s	2,016	88%	95%	80%
<b>U. of Minnesota–Morris</b>	<b>Public</b>	<b>Small</b>	<b>Bachelor’s</b>	<b>1,856</b>	<b>94%</b>	<b>96%</b>	<b>81%</b>
U. of N.C.–Asheville	Public	Large	Master’s	3,891	90%	91%	87%

\*Aspirational peer institutions

<sup>1</sup>Fall 2015 enrollment. Total Enrollment includes non-degree-seeking students.

<sup>2</sup>Fall 2015 percentage of total enrollment composed of degree-seeking undergraduate students.

<sup>3</sup>Fall 2015 percentage of degree-seeking undergraduate students who are enrolled full time.

<sup>4</sup>Fall 2015 percentage of first-time students who are state residents; residency is required reporting biennially in even years.

Source: Integrated Postsecondary Data System



# Crookston Campus

## Founded

1905—Northwest School of Agriculture  
 1966—University of Minnesota Crookston

## Campus Leadership

Mary Holz-Clause, Chancellor

## Departments

Agriculture and Natural Resources  
 Business  
 Liberal Arts and Education  
 Math, Science and Technology

## Degrees/Majors Offered

34 undergraduate degree programs; 14 online majors;  
 2 academic programs offered in China

## Student Enrollment (Fall 2017)

Undergraduate	1,797	(63%)
Non-degree	1,037	(37%)
<b>Total</b>	<b>2,834</b>	

## Employees (Fall 2017)

Direct Academic Providers	128	(41%)
Higher Education Mission Support	60	(19%)
Intercollegiate Athletics	29	(9%)
Facilities-Related Jobs	28	(9%)
Organizational Support	61	(19%)
University Leadership	10	(3%)
<b>Total Employees</b>	<b>316</b>	

## Degrees Awarded (2016–17)

Bachelor's	420
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## Campus Physical Size (2017)

Number of Buildings	41
Assignable Square Feet	482,071

## Budget Expenditures (FY2017)

\$39 million

## Planning at the University of Minnesota Crookston

The Crookston campus shares in the University’s statewide land-grant mission. Crookston “provides its unique contribution through applied, career-oriented learning programs that combine theory, practice, and experimentation in a technologically rich environment. UMC connects its teaching, research, and outreach to serve the public good” (from the campus mission adopted by the Board of Regents in May 2007).

The campus celebrated its 50th year as an institution of higher learning during the 2016–2017 academic year. Since opening the doors to college students in September 1966, the campus has served as the face of the University in northwest Minnesota. It continues to serve as a regional hub of activity and an economic driver with an economic impact of more than \$50 million annually.

The Crookston campus leverages its own resources with those of the Northwest Research and Outreach Center, the Crookston regional office of University of Minnesota Extension, and the Northwest Minnesota Regional Sustainable Development Partnership—each of which is physically co-located on the campus. This proximity enables the sharing of expertise and resources in ways that allow these units to serve the region as well as the entire state in an extremely efficient manner. Similarly, the Crookston campus also benefits by hosting the Economic Development Administration Center for Minnesota, the Center for Rural Entrepreneurial Studies, and the Retired Senior Volunteer Program, working synergistically with these entities, as well as with local businesses and industry.

Crookston delivers on the University’s reputation for excellence in a small-campus environment and online. Noteworthy within the University system for a focus on undergraduate teaching and learning, the Crookston campus’s approach is highlighted by a distinctive blend of theory, practice, and experiential learning. The campus offers exceptional career preparation, including required internships for students planning to work immediately after graduation. It also provides strong foundational work for an increasing number of students planning for advanced study at graduate and professional school.

A pioneer in online education, Crookston offers a spectrum of niche and more universal bachelor of science programs.

Over the past five years, the primary and continuing goal of strategic planning has been to achieve a critical mass of students on campus while strategically growing online enrollment.

The robust experience both residential and commuter students experience on campus affords students personalized attention and “face time” with faculty mentors and staff. Numerous options exist for student engagement and leadership development through undergraduate research, clubs, activities, academic contests, and NCAA Division II athletics. Crookston’s faculty and staff pride themselves on providing a supportive student-centered learning environment where all students—including first-generation, lower-income, less prepared, and at-risk students—can realize their potential and thrive via access to the University’s programs and resources. The smaller setting of the Crookston campus is often seen as more approachable by students from rural and other backgrounds.

Online learning continues to be a strategic part of academic programming, with Crookston serving as an online learning leader within the University. An extension of the University’s modern land-grant mission, online learning provides access to educational programs in a way that appeals to students that differ demographically from the traditional college-aged student. The average age of online students is 31.8 compared with the 20.7 average age of students completing coursework on campus. Currently, 14 of Crookston’s 34 baccalaureate programs are offered entirely online as well as on campus. Online-only students comprise slightly more than 50 percent of the total student headcount as of fall 2017.

The Crookston campus continues to be a center of diversity in the region, enrolling students who come to campus from more than 30 countries and 40 states. For fall 2017, enrollment of domestic degree-seeking students of color is 15.4 percent of on-campus enrollment, and international students account for 9.6 percent of on-campus degree-seeking enrollment. This affords the campus and community opportunities for multicultural interaction and exchange.

The Crookston campus's two major sources of revenue are tuition and state support. Given current levels of state support and a desire to limit tuition increases, the only options for increasing revenue are enrollment growth, additional grant funding, and greater philanthropic support. While the campus operations are extraordinarily lean, units continue to explore ways to gain additional efficiencies. Recruiting, retention, and graduation efforts have become a campus-wide focus and need to be increasingly effective, highly targeted, and sustained from matriculation to graduation. Additionally, recruitment strategies for online students need to be targeted and effective in an increasingly competitive market.

### **Campus Strategic Planning**

In 2016–2017, Crookston continued a strategic planning process that aligns with its commitment to continuous improvement and that focuses on planning for strategic opportunities that emerge from real-time situations. In late 2013, the Strategic Planning Leadership Team (SPLT) developed three key documents (Future Business Model, Institutional Identity Statement, Strategy Screen) and recruited faculty and staff to three strategic work group initiatives: the Strategic Enrollment Management Committee, the Strategic Philanthropic Engagement and Regional Support Team, and the Strategic Institutional Excellence Team (which has since evolved into a focus on rural economic development). A fourth initiative was added in 2015 with a focus on diversity, equity, and inclusion, and in late summer 2016 an additional initiative began that seeks to more fully elicit and support employee engagement and well-being of faculty and staff. The campus has continued to broaden the strategic discussion and participation across campus through the Faculty Assembly, Campus Assembly, the Crookston Student Association, and other venues such as open forums. The leadership team has begun a discussion to determine how these strategic initiatives will be institutionalized within the work of existing campus units and what new concepts and processes will be identified as focused priorities.

### **Review of Vision and Values Statements**

With the existing campus vision and values statements being developed more than a decade ago, the SPLT has

begun to update them to be inspirational, aspirational, and reflective of the campus and its strategic goals. Led by the SPLT and inviting input through campus-wide and community discussions and feedback sessions, the initial review process garnered much interest, participation, and discussion. More than 350 attendees (with some duplication) took part in the discussions. With the arrival of a new chancellor in July 2017, the fall 2017 work is focused on refining the new vision statement and seeking feedback. Work will continue through early 2018, with the goal of presenting an updated vision and values statement to the Board of Regents in the first half of 2018. These revised statements will help guide strategic planning as the campus moves forward.

### **Enrollment Management**

The Strategic Enrollment Management Committee addresses the major challenge of how to achieve and maintain a critical mass of students on campus while also growing online enrollment. Major priorities include continuing the development of a five-year strategic enrollment management plan for on-campus and online students. An admissions team cross-trained to meet the needs of both on-campus and online prospective students has been in place for just over one year. Targets for four- and six-year graduation rates have been established congruent with the University Progress Card, and all departments and units have begun implementation of programs and services to achieve those targets. A successful pilot mentoring program for new student-athletes, launched in 2015–2016, has been expanded. Student Affairs units continue to develop, evaluate, and refine more effective and efficient ways to engage on-campus students to strengthen retention. Support units continue similar work to ensure that online students have access to service and support equivalent to on-campus students.

### **Strategic Philanthropic Engagement and Regional Support (SPERS)**

The primary goal of SPERS has been to enhance and leverage support for the Crookston campus by engaging various internal and external constituencies—including current students and their families, faculty, staff, alumni, business and industry, community members, and donors—to

nurture a culture of philanthropy and pride. A major accomplishment has been the development and implementation of the Crookston Campus-Community Connection (C4). Soon to enter its third successful year, the C4 initiative is led by a planning board consisting of the Crookston chancellor and the mayor of the city of Crookston, as well as business and community leaders, students, faculty, and staff.

This group has enhanced an already strong campus-community relationship through programs such as:

- Dine Around Town, which encourages students, faculty, and staff to dine at local restaurants during the first few weeks of classes.
- College Town Forums, which bring the campus and local communities together to discuss how to work together on shared priorities.
- Maroon and Gold Fridays, which encourages local businesses to have their employees wear maroon and gold clothing on Fridays.
- Special “student nights” hosted by local businesses with activities specifically to engage and entertain University students.

### **Rural Economic Development**

A priority of the Crookston campus is to establish itself as a premier resource for rural economic development. With an engaged and community-minded faculty in the Business Department, which offers nine distinctive business-related academic majors, and with both the Center for Rural Entrepreneurial Studies and the Economic Development Administration Center for the State of Minnesota located on site, the Crookston campus has significant resources upon which to build. The two latter entities utilize University faculty, staff, and students as well as Extension and regional professionals. The resulting educational experience of Crookston students is enhanced by engaging them in projects and research studies related to economic development and entrepreneurship.

Working with the Duluth campus (the current host of SBDC, the Northwest Region’s Small Business Development Center), the Crookston campus continues to advance and refine plans to host a regional satellite SBDC office and, eventually, to assume responsibility as host. While the organizational structure for

Crookston’s planned Center for Rural Economic Development has been developed, after three years of analysis and consultation and three failed searches for a leader for this initiative, campus administration will revisit and potentially modify these plans to ensure their viability. Resources including the Frank W. Veden Endowed Chair in Rural Economic Development will be used to develop a leadership and staffing plan. Discussions began in September 2017 with campus, local, and regional stakeholders about the development of a Rural Innovation Ecosystem.

### **Diversity, Equity, and Inclusion**

Recognizing the importance of preparing students for the highly diverse world into which they will be graduating, the Crookston campus is, with increased intentionality, integrating diversity, equity, and inclusion into campus conversations and programming, with a goal of closing the gap between graduation rates for students of color and white students and increasing the graduation rate for all students. Enrolling students from more than 40 states and 30 countries and from both very urban and very rural areas, the Crookston campus reflects the diversity of the greater world. As such, it is a “laboratory” in which students can safely and openly explore difficult topics with people who are different from them. Fully aware that this work will be ongoing for many years, high-priority goals to implement and refine plans and strategies to integrate more diversity, equity, and inclusion on campus and in the community were continued in 2016–2017. Training and development programs and activities were planned, implemented, and evaluated. Additionally, the co-location of staff members working with new students, diversity programs, international students, and study abroad programs into a renovated, shared area named “The Compass” (after the concepts of travel, other cultures, and self-discovery) resulted in improved communication and collaboration among those units.

### **Employee Engagement**

This strategic initiative concentrated on more fully eliciting employee ideas and involvement with focus on the engagement and well-being of faculty and staff. The initiative stemmed from general open-forum discussions of employee engagement survey data results over the past three years and a growing campus

culture of continuous improvement. A summer planning retreat in July 2016 set a basic framework for the 2016–2017 academic year. Two working groups were established to focus on staff development and leadership development, which resulted in two professional development programs for Crookston employees.

“UMC Leads” is a yearlong cohort program for faculty members to create a culture of leadership on campus. Designed by the University’s Leadership and Talent Development team, the program assists faculty in the development of leadership skills, capacity, and readiness so they are positioned to move their programs, department, and the campus forward. A cohort of 13 faculty members began the program in January 2017, with sessions continuing through the end of 2017.

Intended for both faculty and staff members, the “UMC Leadership Academy” provides opportunities for leadership skills development. This program will span the 2017–2018 academic year and continue thereafter. Additionally, the fall 2016 campus professional development day focused on employee well-being, offering a series of seminars on related topics for employees; the spring 2017 campus professional development day focused on developing employee competency in managing conflict.

### **Strengthening the Crookston Campus Research Infrastructure**

Over the past several years, newly hired faculty members with a strong disposition for conducting and engaging students in research have changed the culture of the campus. Each year, increasing requests for lab and research space have only reinforced the need for more and better spaces. The Center for Collaborative Research—Crookston’s first centralized, self-contained, transdisciplinary lab research facility—has been funded, and plans are being finalized with a goal of opening the space in early 2018. Additionally, two Crookston campus projects are part of the University’s 2018 Capital Request. The first project would optimize 9,500 square feet of existing lab space in Dowell Hall with lab stations for 122 students in STEM-related, computational research, and teacher education majors. The second project would renovate 4,000 square feet of underutilized

space in Owen Hall to create modern chemistry and biology labs, which will provide flexible bench space supporting faculty-led undergraduate research. Legislators have toured these spaces, and efforts to elicit their support via funding at the state level will be a priority for the campus. Administration, faculty, and staff also continue to develop infrastructure and support for external grants using resources such as those of the University’s Office of the Vice President for Research and the Grants Resource Center offered by the American Association for State Colleges and Universities.

The University of Minnesota is well known for research that addresses a number of grand challenges. Crookston faculty and students are conducting research that address these, including:

- a search for new antibiotics as part of the Small World Initiative;
- a study of gases related to climate change;
- big-data methods to evaluate land and its potential for producing crops; and
- new state grant-funded research initiatives involving freshwater sponges and water quality.

### **Systemwide Strategic Planning**

The Crookston campus will be an active participant in the systemwide strategic planning process. Chancellor Holz-Clause will serve on the Strategic Planning Oversight Committee, which will coordinate development of a systemwide strategic plan focused on five strategic areas: teaching and learning, research and discovery, outreach and public service, medicine and health, and supporting the mission.

### **Comparison Group Institutions**

After a review of the previous list of comparison group institutions, the Crookston campus has identified a revised group of eleven higher education institutions as the primary comparison group for planning and assessment. The new comparison institutions were selected based on their similarities in academic programs, enrollment, rural setting, and other key characteristics. These institutions are listed in Table 3-4, with the variance among them shown.

**Table 3-4. Comparison group institutions, Crookston campus**

	TYPE			SIZE	STUDENTS		
	Institutional Control	City Size	Highest Degree Offered	Total Enrollment <sup>1</sup>	Percent Degree-seeking Undergrads <sup>2</sup>	Percent Full-time <sup>3</sup>	Percent In-state <sup>4</sup>
Indiana U.–Kokomo	Public	Small	Master's	4,090	68%	77%	99%
Lake Superior State U.	Public	Small	Doctoral	2,249	93%	86%	88%
Northern State U.	Public	Small	Master's	3,449	45%	81%	NR
Northwest Missouri State U.	Public	Small	Master's	6,593	80%	93%	59%
Northwestern Oklahoma State U.	Public	Small	Master's	2,136	85%	76%	62%
Southwest Minnesota State U.	Public	Small	Master's	7,276	32%	80%	NR
SUNY Col. of A&T at Cobleskill	Public	Small	Bachelor's	2,441	99%	95%	91%
U. of Tennessee–Martin	Public	Small	Master's	6,827	88%	90%	91%
<b>U. of Minnesota–Crookston</b>	<b>Public</b>	<b>Small</b>	<b>Bachelor's</b>	<b>2,823</b>	<b>66%</b>	<b>63%</b>	<b>64%</b>
U. of Pittsburgh–Johnstown	Public	Small	Bachelor's	2,816	100%	97%	95%
U. of Wisconsin–Platteville	Public	Small	Master's	8,945	87%	91%	75%
U. of Wisconsin–River Falls	Public	Small	Master's	5,949	89%	91%	50%

<sup>1</sup>Fall 2015 enrollment. Total Enrollment includes non-degree-seeking students.

<sup>2</sup>Fall 2015 percentage of total enrollment composed of degree-seeking undergraduate students.

<sup>3</sup>Fall 2015 percentage of degree-seeking undergraduate students who are enrolled full time.

<sup>4</sup>Fall 2015 percentage of first-time students who are state residents; residency is required reporting biennially in even years.

Source: Integrated Postsecondary Data System



# Rochester Campus

## Founded

2006

## Campus Leadership

Lori J. Carrell, Interim Chancellor

## Campus Academic Programs

Health Professions  
 Health Sciences  
 Biomedical Informatics and Computational Biology<sup>1</sup>

## Degrees/Majors Offered

One baccalaureate degree offered in two academic programs  
 One master's degree offered in one academic program  
 One doctoral degree available in one academic program

## Academic Partnerships

School of Nursing, UMTC  
 Occupational Therapy, UMTC

## Educational Collaborations

College of Science and Engineering, UMTC  
 Mayo Clinic School of Health Sciences

## Biomedical Informatics and Computational Biology Partnerships

UMTC, Hormel Institute, Mayo Clinic, IBM,  
 National Marrow Donor Program, Brain Sciences Center

## Student Enrollment (Fall 2017)

Undergraduate	459	(82%)
Graduate & Professional <sup>1</sup>	89	(16%)
Non-degree	13	(2%)
<b>Total</b>	<b>561</b>	

## Employees (Fall 2017)

Direct Academic Providers	37	(39%)
Fellows, Trainees, and Students in Academic Jobs	6	(6%)
Higher Education Mission Support	25	(26%)
Facilities-Related Jobs	2	(2%)
Organizational Support	17	(19%)
University Leadership	7	(8%)
<b>Total Employees</b>	<b>94</b>	

## Degrees Granted (2016–2017)

B.S. (Health Sciences)	93
B.S. (Health Professions)	29
M.S. and Ph.D. (Biomedical Informatics and Computational Biology) <sup>1</sup>	14

## Campus Physical Size (2017)<sup>2</sup>

Number of Buildings	3
Assignable Square Feet	154,593
Land for Future Campus	3.1 acres

## Budget Expenditures (FY2017)

\$18 million

<sup>1</sup>All-University graduate degrees granted by the Twin Cities campus with the administrative home on the Rochester campus.

<sup>2</sup>All buildings are leased.

## Planning at the University of Minnesota Rochester

As the Rochester campus enters a new stage of growth, planning efforts are also transitioning. As can be seen in Figure 3-A, the availability of student success data and delineation of processes and organizational structure has allowed the campus to quickly stabilize efforts and enhance growth planning. The planning process was shaped by established anchors and initiated by clarifying the campus's grounding values. The next step was to determine arenas of distinctiveness which was followed closely by defining centering aspirations for strategic planning. These principles are listed below.

### Grounding Values

- Respect
- Human potential
- Community
- Diversity and inclusiveness
- Evidence-based decision making

### Established Arenas of Distinctiveness

- Customized undergraduate health education
- Individualized care, attention, and guidance
- Connected curricular experiences
- Collaborative culture

- Learner-centered core shaped by ongoing learning research
- Community immersion and engagement

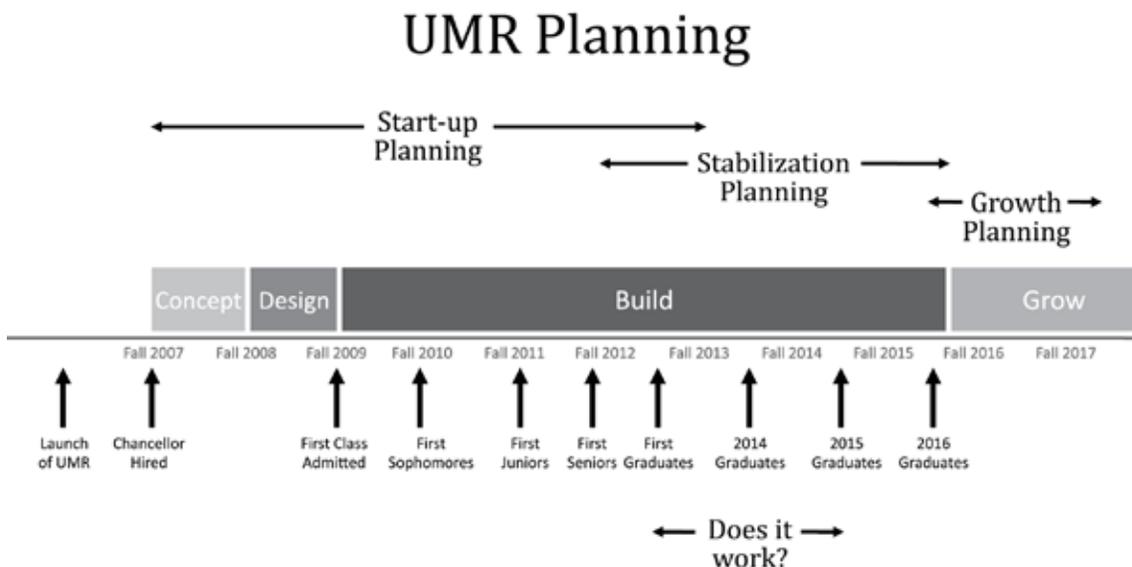
### Centering Aspirations for Strategic Planning

- Devote expertise and energy to student learning and development
- Generate transformative contributions to the renewal of higher education
- Enhance the diversity of the healthcare workforce
- Optimize the established arenas of distinctiveness
- Sustain UMR as an innovative educational enterprise
- Contribute significantly to the continued development of the Rochester community

A Strategic Framework was completed over this past year. The first step in UMR's strategic planning endeavor was to formulate a five-year Enrollment Management Plan. That plan for enrollment growth has since informed and influenced all other subsequent planning efforts. The core components of the enrollment plan include recommendations for:

- sustaining consistent undergraduate enrollment growth over the next five-year period;
- admitting students for success;
- maintaining affordability and access for Minnesota students;

Figure 3-A. Rochester campus strategic planning timeline



Source: University of Minnesota Rochester

- providing a high-quality, evidence-based education and student development experience;
- valuing ethnic, social, economic, cultural, and geographic diversity; and
- supporting timely graduation.

As a result, the Rochester campus will work to expand enrollment in its two undergraduate health sciences degree programs—Bachelor of Science in Health Professions (BSHP) and Bachelor of Science in Health Sciences (BSHS)—by 50 students per year, through recruitment and retention. In the first year of working under the new five-year enrollment plan, new student enrollment exceeded expectations and set a record for the fall 2017 incoming class. The increase resulted from a combination of strategies for growth in the incoming class of undergraduate students as well as improved student retention. The emerging System Strategic Enrollment Management Plan in progress during academic year 2017–2018 (a component of the Systemwide Strategic Plan Framework) is also expected to positively impact campus recruitment and retention.

From these expectations of growth in the size of the student body as well as a desired growth in influence in higher education innovation, a Growth Planning Steering Committee was charged by the chancellor to commission and coordinate the following strategic planning subcommittees as the next step of strategic planning:

- Academic Innovation and Optimization
- Alumni
- Campus Master Planning
- Community Engagement and Partnerships
- Diversity and Inclusion
- Enrollment Management
- Fiscal Planning
- Healthy Campus Community
- Marketing and Branding
- Operations and Emergency Planning

Each working group was populated by representative membership from across the institution including students, faculty, staff, and leadership. The outcomes

from each working group aided in identifying the following interconnected Strategic Growth Priorities:

- **Learning**—the grounding value of “evidence-based decision-making” will be implemented with vigor. Student data, institutional assessment, and faculty learning research results will guide the campus to make intentional choices, coordinate initiatives, pursue partners, communicate the campus vision, cultivate financial commitments, and allocate resources.
- **Resources**—maintaining the campus’s innovative model and sustaining a culture of creativity will require wise stewardship of financial, physical, and human resources. As individuals and an inclusive community in pursuit of the campus vision, well-being is a priority that will necessitate unwavering focus and highly deliberate choices regarding which opportunities will be pursued and which will not.
- **Collaboration**—The campus’s history of commitment to collaborative partnerships will continue and expand with intentionality. Aware of the need for collective action to impact systemic challenges, the campus will not move forward in isolation. We remain committed to UMR’s physical integration in downtown Rochester and extensive connection with community partners that share a learning-focused mission and a commitment to diversity and inclusivity. The campus also expects to enhance and expand collaboration with UMR faculty, staff, and students; the University of Minnesota System; and other higher education innovators.
- **Communication**—the vitality, consistency, transparency, inclusivity, and clarity of internal and external communication will be high priorities. The campus will sustain creative, learning-focused community by documenting and sharing stories of teaching, learning, research, and innovation; boldly communicating the campus vision and values; intentionally including new students, faculty, and staff into the community of wellness and innovation; and reinforcing and valuing collaborative habits of interaction.

In fall 2017, Rochester’s formal planning process shifted from strategic to tactical. The interim

chancellor charged a Growth Plan Tactical Steering Committee to form Growth Plan Tactical Planning Groups. These planning groups are formulating recommended measurable objectives for which they will specify tactical actions necessary to support Rochester’s established strategic direction. The steering committee will work with campus leadership to finalize the plan, with expected completion and alignment with the Systemwide Strategic Plan in June 2018. This highly inclusive planning process is critical to sustaining the momentum, distinct priorities, creative culture, and higher-education innovation that have been established at UMR.

The timeline and activities for the UMR strategic planning process areas follow:

- The Enrollment Management Plan was completed by the UMR Enrollment Management Team in academic year 2015–2016.

- The UMR Strategic Plan Framework was completed in academic year 2015–2016, with vision, grounding values, arenas of distinctiveness, and centering aspirations.
- The UMR Growth Planning Process was completed in academic year 2016–2017, adding strategic decision-making principles and key priorities.
- Tactical planning and completion of the overall UMR Strategic Growth Plan is under way in academic year 2017–2018.
- Finalization of the plan and alignment with the University’s Systemwide Strategic Plan is expected in summer 2018.



# Education

Providing an extraordinary education that generates knowledge, understanding, and creativity. We seek to develop students who become leading scientists and teachers, engineers and artists, and health and business professionals, and who contribute to their communities at every level.

# Undergraduate, Graduate, and Professional Education

The University is committed to being accessible to a wide range of populations, attracting outstanding students, offering an exceptional education, and graduating students prepared for success.

The University has been able to show increasing success with each of these priorities over the years. What may be just as important, however, are the reasons why University leaders identify these areas as priorities. Why, for example, does the University provide financial aid support to students from low-income and middle-income families? Why is it important that more and more high-ability Minnesota students are choosing to enroll at the University instead of leaving the state? Why is it important that the four-, five-, and six-year undergraduate graduation rates are significantly higher on every campus than they were ten years ago?

The answer is that success on each of these fronts is evidence of success toward achieving the University's mission.

An education at the University of Minnesota prepares students to be leaders, innovators, and global citizens. It is crucial that students who have the ability to benefit from the University's opportunities have access to the University.

The better the student learning experience, the better chance that students will have to succeed. Higher graduation rates are important because they demonstrate that more students have been empowered to make the contributions to society that the University's mission envisions.

The discussions of undergraduate, graduate, and professional programs on the following pages demonstrate the importance the University and its campuses place on providing an extraordinary education. While much of this discussion, particularly that at the undergraduate level, is best considered

campus by campus, there are several priorities and measures that the University monitors at a holistic or system level. Among these are the four-year graduation rates of Pell-awarded students, the amount of institutional gift aid available to students, the median undergraduate debt at graduation, the percent of Minnesota students enrolled, and the number of national scholarship awards earned by University undergraduates.

The percentage of first-time, full-time new entering freshmen who received need-based federal Pell grants their first year and graduated within four years is an important consideration because these students, who are often also first-generation college students, may have challenges that impede their success at the University. Ideally these students would graduate at the same rate as the whole student body, but that is not the case at the University nor at most other institutions across the country. As a result of support efforts targeting these and other students, this rate has risen from 43.9 percent for the cohort entering in 2010 to 50.9 percent for the cohort entering in 2013 (**Progress Card Measure**). The University's goal is for 54 percent of the 2017 cohort of Pell-awarded students to graduate within four years, which would increase their graduation rate at twice the rate of the growth anticipated for the student body overall.

The University has a historical commitment to making education affordable to students and thus monitors the amount of institutional gift aid awarded to students across all of the campuses. This amount includes U Promise scholarships, admissions scholarships, collegiate and department scholarships, athletic scholarships, Regents scholarships, and graduate assistant tuition benefits, but excludes state or federal grants, student employment, and loans. To maintain its commitment to affordable education, the University seeks to increase its available gift aid through fundraising and institutional resources. Total

institutional gift aid has grown from \$216 million in 2012–13 to \$246 million in 2015–16 (**Progress Card Measure**). The University’s goal of awarding \$275 million of gift aid in 2021 represents a three-percent annual increase.

Also related to the commitment to affordable education, the University monitors the median amount of student debt accumulated by undergraduates (not including students who have no debt) at the time of their graduation. The median amount for graduating students in 2015–16 was \$24,645, down from \$24,880 in 2012–13 (**Progress Card Measure**). While many factors—such as federal and state financial aid policies, program choice, time to degree, and student and parent behaviors and choices—shape this measure, the University’s goal is to limit the increase in the median amount of cumulative debt for undergraduates with debt to no greater than the consumer price index, with adjustments according to state and federal policy changes. The percentage of University undergraduates with no debt at their time of graduation has increased from 34 percent in 2011–12 to 39 percent in 2015–16. The total amount of funding for graduate assistants, fellows, and trainees during fiscal year 2017 was \$180,543,823, a 4.3 percent increase over the previous year and an increase of twelve percent over five years.

As the state’s flagship land- and sea-grant institution, it is important that the University serve the students of Minnesota. Over the years, the percent of Minnesota high school graduates among both new entering and all undergraduate students throughout the University system has remained consistently high. In 2016, 70.6 percent of the new entering class and 71.1 percent of the whole undergraduate student body came from Minnesota high schools (**Progress Card Measure**). The goal is to maintain this rate of access to the

University for Minnesota high school graduates. The number of graduate students who self-identified as students of color (American Indian, Asian, Black, Hawaiian, or Hispanic) has grown from 1,584, or 11.3 percent, in 2012 to 1,823, or 14.3 percent, in 2017.

Similarly, the University measures its share of the portion of recent Minnesota public high school graduates who enroll at a Minnesota postsecondary institution. In 2016, the portion was 18.7 percent compared to 13.9 percent in 2012 (**Progress Card Measure**). The University’s goal is to maintain this level of access and be an option of excellence and affordability for Minnesota high school graduates who choose to pursue their postsecondary education in state.

Finally, the University tracks at a system level the number of prestigious national awards annually earned by University undergraduate students. This measure gives some indication of the University’s engagement and excellence on a national scale in a wide variety of fields and expertise. The measure includes seven leading student awards: the Beinecke, Churchill, Truman, Rhodes, Fulbright, Goldwater, and Astronaut awards. From 2010–15, University students earned 75 of these awards, which is up from 52 from 2005–10, and 31 in 2000–05 (**Progress Card Measure**). The University’s goal is to have 80 students earn these awards from 2015–2020. In the past year, a record 37 new graduate students were awarded National Science Foundation Fellowships. Two graduate students received CIC/Smithsonian Fellowships and, during 2016–2017, the University was named a “Top Fulbright Producing University.”

# Undergraduate Education

## TWIN CITIES CAMPUS

The University's commitment to the success of undergraduate students begins with outreach to prospective students and extends through recruitment, enrollment, orientation, academic advising, career services, graduation, and beyond. The University attracts outstanding undergraduate students, is accessible to diverse students with a range of backgrounds, and provides a world-class educational experience. Graduates are equipped with the intellectual tools to be productive employees, thoughtful citizens, and creative leaders engaged with the collective challenges we face as a society.

The foundational principles for developing enrollment targets for new first-year and new transfer students on the Twin Cities campus over the past two decades have included admitting students who will benefit from the curriculum and who have a strong probability of graduating in a timely manner; providing a high-quality education and student experience; remaining affordable to a broad cross-section of students; incorporating ethnic, social, economic, and geographic diversity; enrolling new high school and transfer students; and providing students with the opportunities and benefits of attending a world-class research institution.

In spring 2016, the Board of Regents approved the 2016–2021 undergraduate enrollment plan for the Twin Cities campus, which outlined ten enrollment management strategies in support of institutional priorities, including meeting the goals identified in the University Progress Card:

**1. Plan for modest undergraduate growth over the next five-year period.** Increase total undergraduate enrollment from 30,500 (fall 2015) to approximately 32,000 to 33,000.

**2. Admit for success.** Continue to admit those students who will benefit from the University's rigorous curriculum and who have a strong probability of graduating in a timely manner. Continue holistic review of prospective students' records and maintain appropriate levels of selectivity. Maintain an average ACT of 28 or higher for the entering freshman class.

**3. Maintain affordability and access for Minnesota students.** One measure of affordability is average student indebtedness at graduation. Access can be measured by the percent of all Minnesota high school graduates who enroll at the Twin Cities campus as freshmen, and by the percentage of Minnesota high school graduates who choose to attend college in Minnesota and enroll at the Twin Cities campus. Attract a broad cross-section of students from all parts of Minnesota.

**4. Provide a high-quality education and student experience.** Adjust enrollment levels within the capacities of financial, intellectual, and physical resources, with the goal of providing a very high-quality experience. Resources include housing, advising, classrooms, capacity for chemistry courses, student support services, and co-curricular activities. Measure student satisfaction and learning for all students. Measure progress toward "inclusive success" for students of color via annual surveys. One measure of academic excellence in comparison to peers is the number of competitive national scholarships awarded to University of Minnesota students.

**5. Maintain commitment to transfer students.** Enroll a balance of new high school students and transfer students. Facilitate transfer among the University of Minnesota campuses, as well as from institutions in the Minnesota State system. Continue to enroll at least 33 percent of new Twin Cities students as transfer students. Achieve a 65 percent three-year graduation rate for transfer students.

**6. Value ethnic, social, economic, and geographic diversity.** Enhance the educational experiences of all students through interactions with students from different backgrounds, other states, and other countries. Attract a broad range of undergraduate students and serve as a talent magnet for the state. Attract, retain, and graduate students from multicultural backgrounds.

**7. Support timely graduation.** Ensure that students admitted to the Twin Cities campus are adequately supported to graduate in a timely way. Link financial aid strategies and enrollment management strategies. The Twin Cities four-year graduation rate for New High School (NHS) students should reach/exceed 65 percent and the six-year rate should reach/exceed 82 percent; the three-year transfer graduation rate should reach/exceed 65 percent; the four-year graduation rate for Pell-recipient students should reach/exceed 54 percent. Maintain recent gains in the Graduation Success Rates (GSR) for student-athletes. Increasing graduation rates for all students, and specifically the rates for students of color, are also legislative performance measures.

**8. Adjust enrollment levels and set tuition rates to provide revenues.** Adjust enrollment levels and set tuition rates to provide adequate revenue to support high-quality educational programs within the overall mission of the campus.

**9. Continue to enhance need-based and merit-based financial aid programs.** Continue to provide need-based (including middle-income) and merit-based financial aid. The general allocation of financial aid resources should be biased toward need-based financial aid, but strong merit-based scholarships are also needed to attract the best and brightest students. Grow institutional gift aid to \$275 million.

**10. Be attentive to state, national, and global workforce needs.** Be attentive to the workforce needs of the future for the state, the nation, and the world. Increase the number of STEM graduates (a legislative performance measure).

## Maintaining Access to the Twin Cities Campus

The University maintains a strong commitment to access to its degree programs—for Minnesota resident students, for students from a range of economic backgrounds, for students of color, and for first-generation students. Strategies to ensure access include targeted recruitment; holistic, need-blind review for admissions; and linking tuition strategies with financial aid strategies and enrollment management strategies.

### Financially Accessible

As a public institution, the University supports access for qualified students. Review of applicants for undergraduate admissions is need-blind, meaning that a student's ability to pay is not a factor in determining admissibility. The University funds and administers a comprehensive financial aid program targeted to degree-seeking students and tailored to each student's circumstances, including merit-based aid to attract and support high-achieving students and need-based aid to maintain access for many talented students who otherwise would not be able to attend the University.

Total financial support to Twin Cities undergraduate degree-seeking students over the past two years is summarized in Table 4-1. The decrease in the total amount of loans over that period is notable, as is the shift of the proportion of total aid to include more gift aid and less loan aid. As shown in Table 4-2, trends over the past five years are moving in the right direction; the proportion of graduates with no debt is increasing, and the average amount of loan debt for those who have debt is stable.

One measure of financial accessibility is the percentage of students who are low-income, defined as federal Pell Grant recipients. In fall 2017, 21 percent of all degree-seeking students enrolled on the Twin Cities campus were Pell recipients. Looking at specific groups of students: Minnesota resident students, 26 percent; freshmen, 18 percent; new transfer students, 29 percent. Another measure is the percentage of first-generation college students, defined as neither parent having completed a college degree. In fall 2017, 26 percent of all degree-seeking students on the Twin Cities campus were first-generation. Looking

**Table 4-1. Total financial support to Twin Cities campus undergraduate degree-seeking students, 2015–16 and 2016–17**

Aid Category	Aid Year 2015–16	% of total	Aid Year 2016–17	% of total
Gift Aid (scholarships, grants)	\$141,736,481	41%	\$147,935,320	41%
Student Employment (including Work Study)	\$27,122,891	8%	\$27,688,695	8%
Loans (student and parent loans)	\$164,379,580	47%	\$168,454,230	47%
Waivers	\$13,764,103	4%	\$17,251,194	5%
Total	\$347,003,055	100%	\$361,329,439	100%

Source: Office of Institutional Research, University of Minnesota

at specific groups of students: Minnesota resident students, 30 percent; new freshmen, 21 percent; new transfer students, 39 percent.

Recognizing the pressures faced by middle-income families, the University continues its commitment to provide financial aid through the U Promise program, which provides aid to over 13,000 Minnesota undergraduates systemwide. The program provides funding to families making up to \$120,000, and it provided funding to fall 2017 undergraduate students from every Minnesota county (see Figure 4-A).

To assist Twin Cities campus students and their parents with managing the costs of college, the University has increased financial literacy efforts, including the “Live Like a Student Now So You Don’t Have to Later” campaign. This program was recognized by then-President and First Lady Obama at the January 2014 College Opportunity Summit in Washington, D.C.

Welcome Week for new students includes a workshop on money management, and One Stop Student Services now has counselors certified in financial wellness who conduct workshops for students and meet with students one-on-one. The One Stop website includes money management resources. A key point of

the financial literacy messaging is that graduating in a timely manner is one of the best ways for students to manage the costs of their education.

#### Accessible to Transfer Students

Educating transfer students is an important part of the University’s service to the state, particularly for the Twin Cities campus, as the flagship of the system, because it offers many undergraduate majors not available elsewhere in the state. Of the 9,032 new students enrolling on the Twin Cities campus in 2016–17, 5,895 were freshmen and 3,137 (35 percent) were transfer students from outside the University. Over 37 percent of these new transfer students come from Minnesota State institutions.

Transfer students add to the diversity of the Twin Cities campus. When compared with those who enter as freshmen, transfer students include proportionately higher numbers of first-generation students, African-American students, Hispanic students, American Indian students, international students, and older-than-traditional-college-age students. The University admits transfer students who can be successful in completing a degree program, and considers students for transfer admission after they have a record of success in one or more years of college courses that

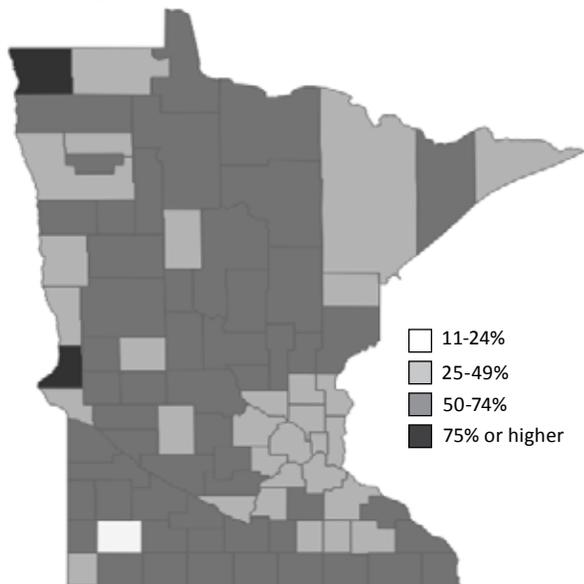
**Table 4-2. Student loan debt trends for Twin Cities campus undergraduate degree recipients, fiscal years 2013–2017**

Bachelor’s Degree Recipients	2012–13	2013–14	2014–15	2015–16	2016–17
% of Bachelor’s Degree Recipients with no student debt	38%	39%	40%	43%	43%
Average loan debt for those with debt	\$27,158	\$26,406	\$26,091	\$26,068	\$25,994
Median loan debt for those with debt	\$24,594	\$24,433	\$24,000	\$23,318	\$23,009

Source: Office of Institutional Research, University of Minnesota

Federal, state, institutional, and/or private student loans are included in these calculations for any undergraduate studies within the University of Minnesota system. Any student loan certified by or reported to the University is included in these statistics. Other debt instruments, such as a personal line of credit, home equity line of credit, Parent PLUS loan, or loans from family/friends are not included in these statistics.

**Figure 4-A. Percent of fall 2017 undergraduate degree-seeking students systemwide within each county receiving a Promise Scholarship.**



Source: Office of Institutional Research, University of Minnesota

are transferable to the campus. Over the past decade, the three-year graduation rate for transfer students (**Progress Card Measure**) has improved from 46.3 percent (students entering in 2003) to 64.6 percent (entering in 2014). Of the 7,807 undergraduate degrees awarded in 2016–17, 36 percent were awarded to students who had transferred to the campus.

### Accessible to Diverse Students

The University is committed to achieving excellence with a diverse student body and to maintaining a respectful, welcoming environment for all students. This commitment encompasses diversity in many forms, including geographic origin, racial-ethnic background, sexual orientation, gender identity, culture, disability, veteran status, and socio-economic background. After several years of relative stability, the University has observed a troubling decline in measures related to students' sense of belonging for all students, but especially for students of color as indicated on the SERU survey (**Progress Card Measure**). The University's commitment to improving the campus environment for all students is highlighted on the Campus Climate website, which lists a wide range of initiatives and improvements, including the Student Climate Advisory Committee, the Commuter Connection, and the Multicultural Student Engagement unit within Student Affairs.

Over 700 veterans are now enrolled on the Twin Cities campus as degree-seeking undergraduates. The University Veterans Services Office assists them with admissions processes; transitioning from military life to the role of a student; certifying, applying, and qualifying for veterans benefits; processing military leaves for those called to active duty; and connecting with campus opportunities and resources.

From fall 2016 to fall 2017, the number of undergraduates of color on the Twin Cities campus increased from 6,586 to 7,111 (from 21.3 percent to 22.5 percent). While the number of international students increased from 2,779 to 2,816, the percentage decreased from 9.0 percent to 8.9 percent. For fall 2017, the percentage of undergraduate students from Minnesota was 65.9 percent. Students from 45 states, plus Washington D.C., Guam, Puerto Rico, the American Virgin Islands, and from 95 countries were among the 31,535 undergraduates.

While the percentage of Minnesota students has been relatively consistent, there have been some shifts in the geographic origin of other U.S. students. The percentage of students from reciprocity states (Wisconsin, North Dakota, and South Dakota) has decreased, while the percentage from other states and outside the United States has increased. The increase in the numbers of students from other regions of the United States and from other countries reflects the University's commitment to enhancing the campus community through the inclusion of young people from differing countries, backgrounds, religions, and experiences.

## Attracting Outstanding Students to the Twin Cities Campus

High-ability students increasingly seek to attend the University of Minnesota Twin Cities, as evidenced by the growing numbers of applications and the student preparation metrics of the incoming freshman class. Applications for admission have nearly doubled over the past decade, from 26,091 prospective students seeking admission for fall 2007 to 43,720 for fall 2017. During that same time period, the average ACT for the new freshman class has improved significantly, from 25.9 to 28.4 (**Progress Card Measure**).

The increased number of applicants can be attributed to a growing awareness by prospective students and their families of the many improvements in undergraduate education on the Twin Cities campus. The academic preparedness of first-year students and the diversity among those students enrich the classroom experience and the campus social environment. Enhanced national recruitment efforts have helped to offset the declining numbers of Minnesota high school graduates, increase the geographic diversity of the student body, and bring workforce talent into the state. The fall 2017 freshman class includes students from 45 states and 43 countries.

The President's Emerging Scholars (PES) Program is a merit-based scholarship and student success program. Participants are selected based on a holistic review conducted by the Office of Admissions. PES students are selected based on strong academic and extracurricular excellence, and significant community engagement. These scholars are accomplished, involved, and resilient. PES scholars are also diverse—many are the first member of their families to attend college, Pell grant recipients, or student of color. This program invites approximately 500 students to participate in the program each year and the program involves scholarship funding and significant programming and campus engagement.

The University Honors Program attracts high-achieving students who have chosen to attend the Twin Cities campus over some of the nation's most selective institutions. The 2,290 students in the Honors Program benefit from a challenging, interdisciplinary approach, with rigorous honors courses and co-curricular experiences that draw on the expertise of faculty and staff across the comprehensive range of disciplines on campus. The profile of the 594 new fall 2017 Honors students showed an average ACT of 32.9 and average high school rank of 97.5 percent.

In 2017, the Land-Grant Legacy Scholarship Program was conceived by the College of Food, Agricultural and Natural Resource Sciences and the Office of Undergraduate Education to support the University's commitment to Minnesota residents and access for Minnesota students. This initiative aims to attract and retain more students from Greater Minnesota and includes programmatic elements designed to support

students during their time at the University and to build community. This initiative, which also includes a financial scholarship, will serve as a pilot on which to expand into other colleges.

## Offering a Great Student Experience on the Twin Cities Campus

The Twin Cities campus undergraduate educational experience is special because of the campus's unique position in the world of public higher education:

- As the state's only research university and one of the very best research universities in the nation.
- As the state's public land-grant university.
- Located in the state capital, which provides many opportunities for internships with state agencies.
- Situated in a vibrant metropolitan area, with remarkably beautiful parks, lakes, and rivers; a lively social and cultural environment; and many Fortune 500 companies.

The University leverages these attributes to provide undergraduates with a world-class learning environment and student experience. The University is one of the most comprehensive in the world, offering 150 baccalaureate degree programs in a wide range of areas: astrophysics, product design, child psychology, American Indian studies, entrepreneurial management, biomedical engineering, and music performance, to name just a few. Many students take even greater advantage of this breadth of opportunity by double-majoring or by completing a minor. The 135 minors offered include traditional disciplinary areas such as art history, biology, and mathematics, as well as emerging and interdisciplinary areas such as water science, family violence prevention, business law, social justice, and sustainable agriculture.

As part of achieving the vision of the Twin Cities Campus Strategic Plan—to be preeminent in solving the grand challenges of a diverse and changing world—exciting new Grand Challenge Curriculum (GCC) courses are now offered to undergraduates. The first GCC courses were developed and offered in 2015–16. These courses bring a solution-driven, interdisciplinary approach to learning about important

global issues. GCC courses are taught by two or more cross-disciplinary faculty who bring unique perspectives to the challenge being explored. Courses include “Science and Society: Working Together to Avoid the Antibiotic Resistance Apocalypse,” “Pathways to Renewable Energy,” and “The Achievement Gap: Who Is to Blame?”

Undergraduates value such opportunities to have an impact on the world. Data from the 2015 Student Experience in the Research University (SERU) survey indicated that 86 percent of students surveyed considered opportunities to connect their academic work with community-based experiences important. Public engagement activities support student learning and development outcomes and help recruit students to the University who are looking for these engagement opportunities.

The Community Engagement Scholars Program is one option for students to immerse themselves in a rigorous community-based learning program. Through a cohort model, students complete eight credits of service-learning coursework, participate in structured reflection sessions, volunteer for a minimum of 400 hours with a community organization, and submit a final capstone project produced in partnership with a community organization. Upon completion of the program, students receive official recognition at graduation and on their academic transcript. The program currently enrolls 268 students.

The University has agreed upon campus-wide undergraduate student learning outcomes, which state that, at the time of receiving a bachelor’s degree, students:

- Can identify, define, and solve problems.
- Can locate and critically evaluate information.
- Have mastered a body of knowledge and a mode of inquiry.
- Understand diverse philosophies and cultures within and across societies.
- Can communicate effectively.
- Understand the role of creativity, innovation, discovery, and expression across disciplines.
- Have acquired skills for effective citizenship and lifelong learning.

Articulated learning outcomes are important as faculty develop curricula, plan courses, construct learning activities, and assess the learning that occurs in every aspect of the student experience: classes, service-learning, research opportunities, internships, and learning abroad.

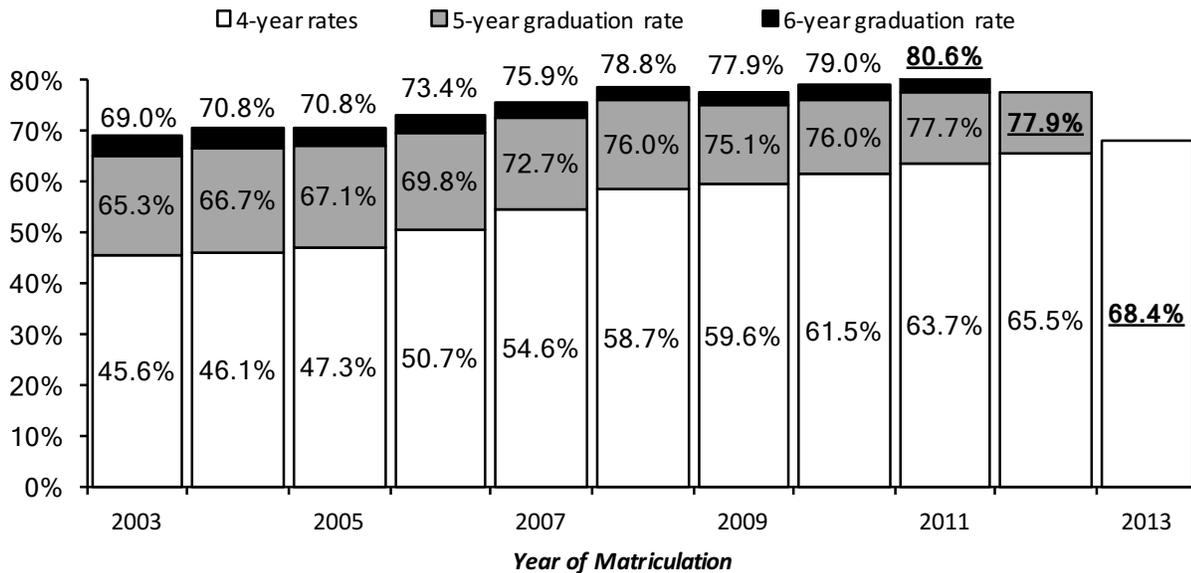
Twin Cities undergraduate teaching facilities have been improved with state-of-the-art classrooms, including Bruininks Hall, which has more than a dozen high-tech, active-learning classrooms. Completed in fall 2017, the renovation of the John T. Tate science and teaching building transformed obsolete labs and antiquated classrooms into vibrant, flexible spaces that will bolster instruction, research, and support services. Residence hall facilities and programming have been recently enhanced, as well. The 17th Avenue Residence Hall increased the on-campus housing capacity by 600 beds. While Pioneer Hall is being renovated, the University is leasing residential space from private facilities near campus and has adjusted room assignment processes to ensure housing for incoming students. A new Residential Curriculum Model has been launched in all residence halls and apartment communities, based on five elements of well-being: career, social, financial, physical, and community—reflecting the University’s ongoing commitment to student engagement, retention, graduation, and success.

## Preparing Twin Cities Campus Graduates for Success

The University is committed to providing students with a distinctive, world-class liberal education and rigorous coursework in a field of study. Initiatives concerned with the student experience are focused on enriching students’ knowledge, skills, and abilities and equipping them for the challenges of the future in a diverse, changing, global society. Undergraduate student retention rates, graduation rates, and the number of degrees conferred are among the measures that the University uses to assess the extent to which the University is challenging, educating, and graduating students. The University Progress Card includes the following goals for undergraduate education on the Twin Cities campus:

- 4-year graduation rate of 65% for the 2017 cohort

**Figure 4-B. Four-, five-, and six-year graduation rates of first-time, full-time undergraduate students, Twin Cities campus, classes matriculating in 2003–2013**



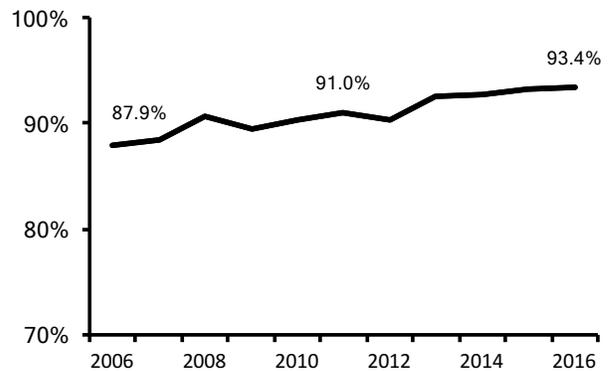
\*Rates include graduates who transferred to another University of Minnesota campus. Graduation rates displayed in Table 4-3 are those reported to the national database (IPEDS), which counts only students who matriculated at and graduated from the same campus. As a result, the rates presented in the figure above differ slightly than those displayed in Table 4-3. Source: Office of Institutional Research, University of Minnesota

- 6-year graduation rate of 82% for the 2015 cohort
- Average freshman ACT score > 28
- 3-year graduation rate > 65% for transfer students

**Retention and Graduation Rates**

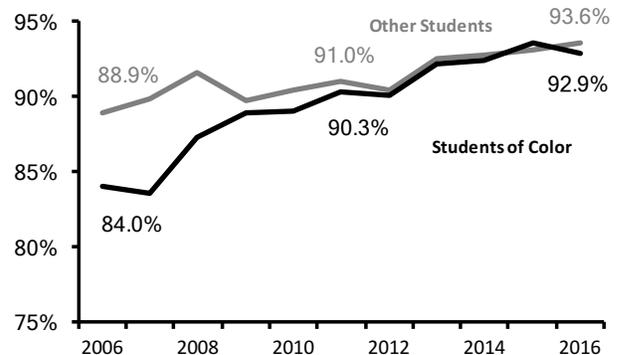
The Twin Cities campus has made significant progress over the last decade in improving undergraduate graduation rates (**Progress Card Measure**). Retaining students after their first year is the first step toward timely graduation. Figure 4-B and Figure 4-C show the most recent results, with rates at their highest levels ever, including first-year retention now at 93.4 percent. As a result of this progress, the Twin Cities campus rates are competitive with comparable institutions. Table 4-3 ranks the graduation rates of the Twin Cities campus’s comparison group institutions (which include the most selective public research universities in the country), as well as the other public Big Ten Conference universities. While the table lists graduation rates for classes matriculating in 2009 (the most recent data available for comparison), the most recent Twin Cities campus rates (displayed in parentheses) suggest that the campus will rank even better when data for those classes become available for comparison. The graduation rates for student-athletes

**Figure 4-C. First-year retention rates of first-time, full-time undergraduate students, Twin Cities campus, classes matriculating in 2006–2016**



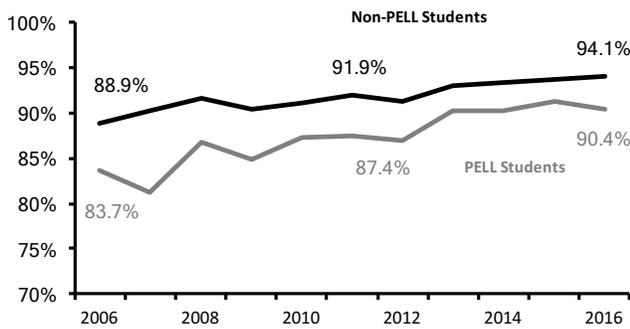
Source: Office of Undergraduate Education, University of Minnesota

**Figure 4-D. New freshman retention, students of color and all other domestic students, Twin Cities campus, classes matriculating in 2006–2016**



Source: Office of Undergraduate Education, University of Minnesota

**Figure 4-E. New freshman retention by Pell status, Twin Cities campus, 2006–2016**



Source: Office of Undergraduate Education, University of Minnesota

as measured by the NCAA’s GSR (**Progress Card Measure**) have continued to improve, increasing to 92 percent.

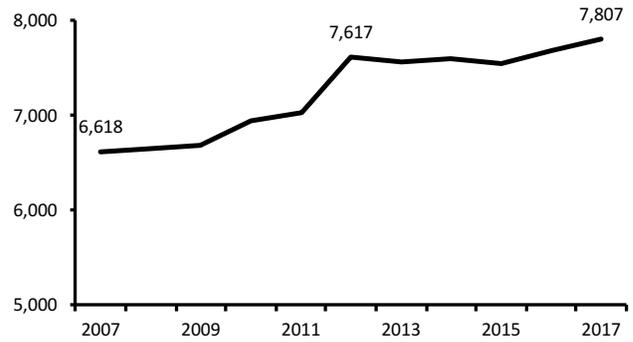
First-year retention rates for students of color have improved significantly (Figure 4-D) over the past ten years, as have retention rates for Pell-eligible students (Figure 4-E). Although data regarding student-of-color retention is aggregated, the University also closely monitors success of race and ethnicity groups. While gaps have been closing over time, there are variations from year to year.

**Degrees Conferred**

The Twin Cities campus has increased by more than 20 percent the number of undergraduate degrees awarded over the past decade, from 6,618 in 2006–07 to 7,807 in 2016–17 (Figure 4-F).

In response to changes in student interest and state and national employment needs, the Twin Cities campus is now awarding substantially more degrees in science, technology, engineering, and math (STEM) fields. From 2006–07 to 2016–17, the number of STEM degrees increased by 57 percent, from 2,240 to 3,519. STEM degrees awarded include all baccalaureate degrees in several broad categories as defined by the Department of Education. These STEM fields include agriculture, natural resources, engineering, computer sciences, biological sciences, physical sciences, mathematics, and health professions.

**Figure 4-F. Undergraduate degrees awarded, Twin Cities campus, 2006–2007, 2016–2017**



Source: Office of Undergraduate Education, University of Minnesota

**Table 4-3. Retention (class matriculating in 2015) and graduation (class matriculating in 2010) rates sorted by four-year graduation rate, Twin Cities campus comparison group and Big Ten Conference public institutions**

	1st-year Retention Rate	4-year Graduation Rate
*U. of California – Berkeley	97%	76%
*U. of Michigan – Ann Arbor	97%	75%
*U. of California – Los Angeles	97%	74%
*U. of Illinois – Urbana-Champaign	94%	70%
U. of Maryland – College Park	95%	69%
*Penn. State U. – Univ. Park	93%	68%
*U. of Florida – Gainesville	97%	67%
*U. of Washington – Seattle	94%	65%
<b>U. of Minnesota – Twin Cities</b>	<b>93%</b>	<b>61% (68%)<sup>1</sup></b>
Indiana U. – Bloomington	91%	60%
Rutgers, State U. of New Jersey – New Brunswick	93%	59%
*Ohio State U. – Columbus	94%	59%
*U. of Wisconsin – Madison	95%	57%
*U. of Texas – Austin	95%	55%
Michigan State U. – East Lansing	92%	52%
U. of Iowa – Iowa City	87%	51%
Purdue U. – West Lafayette	92%	49%
U. of Nebraska – Lincoln	82%	36%

Source: Common Data Set

\*Comparison Group Institutions

<sup>1</sup> Most recent UMTC four-year graduation rate (class matriculating in 2013)

# DULUTH CAMPUS

## Maintaining Access to the Duluth Campus

### Affordable Access

With a unique combination of both land-grant and sea-grant missions, the University of Minnesota Duluth (UMD) occupies a distinctive place in the University system and is committed to being accessible to Minnesota students. UMD serves the citizens of the state; over 85 percent of UMD's undergraduate students are from Minnesota, with about half coming from the Twin Cities metro and half from greater Minnesota. In 2016, 35 percent of students in UMD's entering class were first-generation college students.

UMD ensures affordable access for students of all backgrounds and has expanded both merit and need-based scholarships to attract top-level students. In 2016, 40 percent of UMD students qualified for the University of Minnesota Promise Scholarship, a multi-year scholarship for Minnesota resident undergraduates with a family income of up to \$120,000. In addition, UMD offered 240 Best in Class scholarships in 2016 to students who ranked either first or second in their high school class.

UMD distributes more than \$107 million in financial support to undergraduate students annually. University scholarships comprise approximately \$13 million of that aid. UMD places a strong emphasis on student financial literacy as part of its student financial support strategy. In 2016, UMD initiated the UM Borrowing Initiative, which provides each student borrower with a debt report card, including future implications of that debt. Research shows that this type of communication can positively impact time to graduation and overall academic progress as well as reduce debt load at graduation. Other University campuses will implement the debt report card in the next year.

The Duluth campus also added a financial aid educator position to work specifically with prospective students and their families. The position has enhanced guidance of families through the FAFSA and aid

awarding processes. UMD has significantly increased funding for financial aid to help students manage the cost of their education (Table 4-4).

### Diversity

The Duluth campus has a commitment to equity and diversity and has placed a high priority on creating an environment that is welcoming and inclusive. A campus change team was named in 2010 and charged with developing campus-wide action plans at all levels to create a more positive environment for diverse students, faculty, and staff. Efforts include increasing recruitment, retention, and support of diverse students, faculty, and staff; the integration of cultural diversity, cultural competence, and social justice topics into curriculum and campus life; increased training and development opportunities that promote equity, diversity, and social justice; and the implementation and rigorous enforcement of policies and procedures that advance cultural diversity and social justice, including progress on diversity initiatives as an explicit part of performance reviews of campus leadership.

In 2013, UMD added a cabinet-level leadership position to facilitate campus climate training and development for faculty, staff, administration, and students. Shortly thereafter UMD began a comprehensive Intercultural Leadership Development (ILD) training program. The ILD program recently completed its 13th cohort (234 faculty, staff, and administrators) and another two cohorts are planned for 2017–18. In addition to the ILD initiative, UMD has developed internal capacity to offer the Equity and Diversity Certificate Program, originally developed

**Table 4-4. Student aid trends, degree-seeking undergraduates, Duluth campus, 2006 and 2016**

	2006	2016
Gift Aid	\$18.9m	\$38.2m
Employment	\$4.1m	\$4.7m
Loans	\$49.3m	\$62.5m
Total Student Aid	\$75.4m	\$107.3m
% of Students Receiving Gift Aid	46%	64%

Source: Office of Institutional Research Student Aid Profile, University of Minnesota

and offered systemwide by the Office of Equity and Diversity (OED). UMD's training team offers three of the workshops per semester with 30 to 80 staff participating in each. Training about implicit bias in the search process is offered two to three times per semester at UMD. In addition, the UMD Employees of Color Mentoring Program continues to meet, with over 180 employees invited to attend monthly meetings.

In fall 2015, UMD students, staff, and faculty participated in a Campus Climate Survey. In 2016–17, the results were shared and idea sessions were held with various constituent groups to develop priorities and action plans for improving campus climate. A new webpage ([d.umn.edu/campus-climate](http://d.umn.edu/campus-climate)) was created to share and facilitate ongoing campus climate efforts.

The Duluth campus values diversity as a means of enriching the educational experience of all students and continues its strong commitment to building a more diverse student body. Studying and learning in a diverse environment helps prepare students to live and work in an increasingly heterogeneous and global society. To that end, UMD utilizes a holistic undergraduate admission review process by which the strength of the applicant is evaluated through multiple factors that incorporate academic measures, relevant co-curricular and work experiences, and other individual characteristics. Over the past decade, UMD has experienced steady growth in the percentage of students of color enrolled, as shown in Figure 4-G.

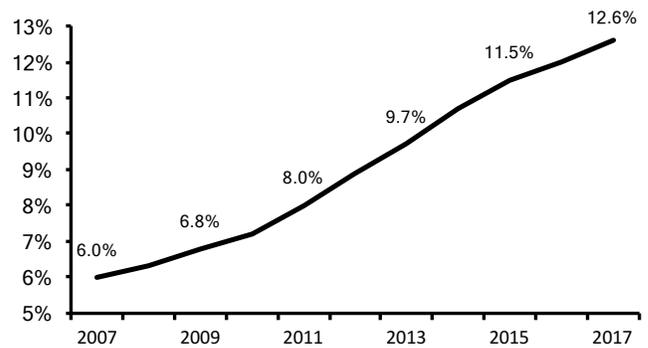
### Transfer Student Initiatives

The Duluth campus is committed to increasing transfer student recruitment and academic success and has made a concerted effort over the past several years to become a more transfer-friendly institution.

For example, UMD's initiative *Link*, a partnership with Lake Superior College (LSC), continues to provide an education pathway for LSC students interested in completing their baccalaureate degree through UMD. A UMD staff member has open office hours one day a week at LSC to meet with students who are considering transferring. In the past year, 22 LSC students matriculated to UMD.

During spring 2016, UMD launched Transfer Prep review sessions for incoming transfer students. These sessions give incoming transfer students an

**Figure 4-G. Percent undergraduate students of color by fall term, Duluth campus, 2007–2017**



Source: Office of Institutional Research, University of Minnesota

opportunity to meet with a transfer specialist to have their records reviewed before they arrive at their Orientation, Advisement, and Registration session. In 2016–2017, over 130 transfer students participated in Transfer Prep review meetings. In 2017, UMD also set aside four of 28 scheduled Advisement and Registration sessions to focus specifically on transfer students. For fall 2017, UMD served almost 300 transfer students during these sessions.

Beginning in 2015, UMD initiated the Northland Partners Course Review project, in which over 700 courses from area schools were reviewed to ensure that a UMD transfer credit decision would be available for all 1xxx- and 2xxx-level courses from these schools. In addition, all 1xxx- and 2xxx-level courses from UMD's top ten transfer institutions were reviewed and transfer decisions for 1,450 courses were updated.

International transfer credit continues to increase. Over the past academic year, UMD developed a new international transfer credit process map and agreement template. In 2016–17, the campus registrar's office served students from 31 different institutions (24 of which had not previously been in UMD's process of evaluating academic credit for transfer). Note that the majority of transcripts are in an original language that is not English.

## Attracting Outstanding Students to the Duluth Campus

In January 2015, UMD developed six initiatives for strategic investment in undergraduate enrollment (Table 4-5). Return-on-investment modeling and

**Table 4-5. Fall enrollment, Duluth campus, 2009, 2014–17**

	2009	2014	2015	2016	2017	Percent Change 2016 to 2017	Percent Change 2009 to 2017
Undergraduate	9,422	9,120	8,929	9,051	9,199	1.6%	-2.4%
Graduate	769	715	652	664	669	0.8%	-13.0%
Non-degree	1,130	903	942	946	948	0.2%	-16.1%
Total	11,321	10,738	10,523	10,661	10,816	1.5%	-4.5%

Source: Office of Institutional Research, University of Minnesota

accountability for achievement of established enrollment goals are key elements of each strategy.

Four initiatives allocated resources to programs currently at capacity but with demonstrated additional enrollment demand; in other words, programs requiring additional resources to meet student demand. These programs are being supported with additional instructional positions and one-time funds for space remodeling to increase capacity. The goal is to grow undergraduate enrollment by 350 students across these programs by fall 2019. As of fall 2016, three of the initiatives realized a total enrollment increase of 106 students and are on track to reach their future enrollment goals. One initiative did not realize its interim enrollment goal and is being reassessed before recurring resources are committed.

Two additional enrollment initiatives are focused on enrollment marketing efforts. The Office of Undergraduate Admissions is leading an effort to increase prospective student awareness of programs with enrollment capacity; in other words, programs *not* requiring additional resources to serve an increased number of students. Fourteen programs have been targeted, with the goal of an overall increase of 100 enrolled students within the next four years. A second enrollment marketing initiative is centered on currently enrolled students. Housed within Academic Affairs and aligned with campus student retention goals, this strategy reinforces the UMD brand and the value of a University of Minnesota degree and seeks to improve student messaging and student awareness and use of support resources. This initiative is anticipated to grow continuing student enrollment by approximately 75 students over the next three years. These initiatives are contributing to positive enrollment growth in both targeted programs and UMD's first-to-second year persistence rates.

## Offering a Great Student Experience on the Duluth Campus

The Duluth campus overlooks the shores of Lake Superior in a thriving community that offers over 11,000 acres of public space, more than 160 miles of hiking trails, and a vibrant arts scene. *Outdoor Magazine's* winner of "Best Outdoor Town in America," Duluth is a four-season vacation destination and international shipping harbor known for its natural beauty. The Duluth campus takes pride in providing a high-quality living and learning experience, abundant opportunities for undergraduate and graduate research, over 250 student organizations, and a strong presence in the cultural and intellectual life of the Duluth community. The campus consistently ranks among the top Midwestern regional universities in *U.S. News and World Report's* "America's Best Colleges." Providing an alternative to large research universities and small liberal arts colleges, UMD attracts students looking for a personalized learning experience on a right-sized campus of a major university.

Undergraduate students can choose from 14 bachelor's degrees in 92 degree programs across five collegiate units, including the Labovitz School of Business and Economics, the College of Education and Human Service Professions, the School of Fine Arts, the College of Liberal Arts, and the Swenson College of Science and Engineering. The Duluth campus offers graduate programs in 19 fields and six cooperative programs offered through the Twin Cities campus, in addition to a two-year program at the University's School of Medicine Duluth and a four-year College of Pharmacy program.

### Freshwater Research

The Duluth campus serves the state and the nation as a leader in freshwater research, supported by its position at the headwaters of one vast freshwater system, the Laurentian Great Lakes, and near the headwaters of part of another, the Mississippi River. Water directly or indirectly accounts for much of the wealth of this region. The amount and diversity of freshwater science, policy, and outreach that occurs in and around UMD is arguably unmatched by any other institution across the nation. The size and setting of the Duluth campus is ideal for close collaboration of faculty, undergraduate, and graduate students in freshwater research and provides UMD students with exceptionally strong preparation for postgraduate options in the job market.

UMD is actively addressing the “grand challenge” of water quality, water supply, and how to continue to provide clean freshwater to the region’s communities, industries, and ecosystems. Freshwater research education and outcomes are integrated campus-wide through the work of faculty and staff associated with the Swenson College of Science and Engineering, Natural Resources Research Institute, Large Lakes Observatory, and Minnesota Sea Grant.

### Undergraduate Research

UMD continues to be a leader in undergraduate research, providing opportunities in research, scholarship, and creative activity. The Undergraduate Research Opportunity Program has a very high participation rate of 150 to 200 students annually. Faculty grants and donor gifts add to the funding of undergraduate research, scholarship, and creative activity. Several departments have nationally recognized summer undergraduate research programs, the newest being the BURST program (Biological Undergraduate Research in Science and Technology).

All stakeholders on campus recognize the impact that undergraduate research, scholarship, and creative activity have in the academic life and future career engagement of students. For example, donor and UMD friend Jim Swenson valued his undergraduate research so much that the Swenson Family Foundation has funded summer research in chemistry and biochemistry every year for more than two decades. Brian Kobilka, the 2012 Nobel Prize winner in

chemistry, credits his involvement in undergraduate research at UMD for the start of his successful career as a scientist.

UMD celebrates undergraduate research and artistic activities with two Undergraduate Research/Artistic Showcases each year. These half-day campus events feature student posters, computer demonstrations, art exhibits, and theater productions, all providing information about projects completed by undergraduate students working with faculty mentors.

UMD is a strong contributor to the research mission of the University system. With a research footprint that is proportionally larger than its size, the Duluth campus complements the Twin Cities campus in serving the needs of the State of Minnesota.

### Active Learning

The Duluth campus has made concerted efforts to incorporate active learning in its classrooms and curriculum. The past several years have seen a marked increase in the conversion of space on campus to active learning classrooms, most recently the Securian Learning Commons and Math Lab, located in Martin Library. The math lab opened in September 2016 and has doubled the capacity for developmental math courses while simultaneously offering more personalized learning. As a student-centered active learning environment, the lab incorporates up-to-date technology to help math students progress at a pace that fits each individual.

Beginning in 2014, the Swenson College of Science and Engineering developed a new strategic plan that included a goal to move its entire curriculum to active learning within a decade. Studies have demonstrated that active learning significantly improves student performance and integration of knowledge; increases retention of students in science, technology, engineering, and mathematics (STEM) fields and improves graduation rates; and improves recruitment and retention of underrepresented minorities and women in STEM disciplines. The college implemented a cohort model, with groups of faculty engaged in training, studying best practices, and redesigning courses. Presently, approximately 20 percent of the more than 180 faculty of the college are engaged in some form of active learning in their classrooms, and

more than half the faculty have engaged in the cohorts and/or workshops and plan to incorporate active learning into their classes. The college's formal goal is to include active learning methods in all classes by 2025; it is currently on pace to achieve this benchmark by 2021.

### Recreational Sports Outdoor Program

UMD's Recreational Sports Outdoor Program (RSOP) has been a national leader in engaging students in healthy, active lifestyles and connections to the natural world through personal and professional experiences. RSOP programming areas include intramural sports, informal sports, fitness and wellness, sport and outdoor clubs, aquatics, kayaking and canoeing, stand-up paddle boarding, kiting and surfing, climbing, environmental education, outdoor trips, crafts, and youth programming. RSOP also serves employees and alumni through a wide variety of programming and facility options and contributes to the University's mission of outreach through youth and community programming.

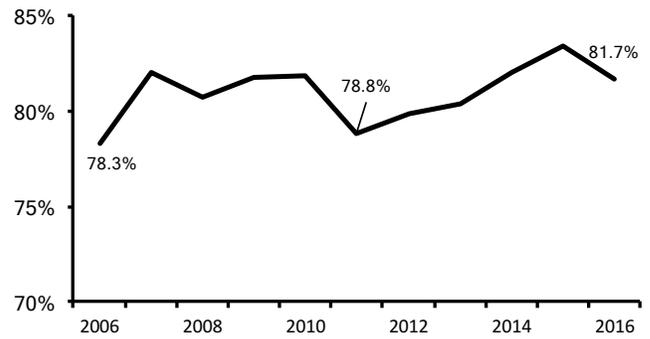
Over 90 percent of UMD students participate in RSOP facilities and services. The overall RSOP and intramural participation rates are 20 percentage points above national benchmarks, placing UMD among the top schools in the nation. The latest major benchmarking occurred in spring 2016. Results include that:

- 91 percent participate in RSOP programs and services;
- 75 percent indicated that RSOP was important in their decision to attend UMD;
- 77 percent indicated that RSOP was important in persisting; and
- 73 percent indicated that their academic performance improved due to participation.

## Preparing Duluth Campus Graduates for Success

In spring 2015, the Strategic Enrollment Management subcommittee of the Strategic Planning and Budget governance committee communicated a campus-wide goal of increasing first-to-second-year campus retention within the next three years and introduced

**Figure 4-H. First-year retention rates of first-time, full-time undergraduate students, Duluth campus, classes matriculating in 2006–2016**



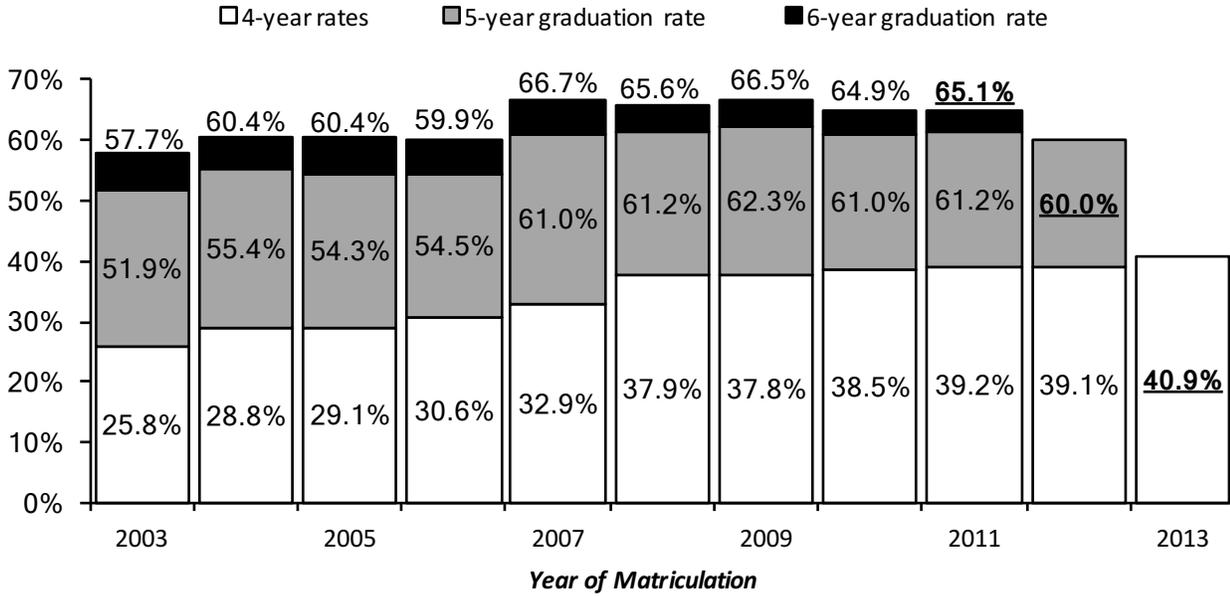
Source: Office of Institutional Research, University of Minnesota

a framework for achieving that goal (Figure 4-H). Demonstrable progress has been made and is being monitored through UMD's Action Plan for Student Retention, which includes more than 70 action items. Over \$110,000 has been distributed through the student success and retention small grants program supporting course and program initiatives to improve academic success and student engagement in the freshman and sophomore years.

Using improved student success and retention as the foundation, the Duluth campus continues to work to improve graduation rates (**Progress Card measure**). The twelve percent increase in four-year graduation rates and the seven percent increase in six-year graduation rates since 2003 (Figure 4-I), while maintaining a similar academic profile and increasing traditionally underrepresented populations, are evidence of the University's continuing commitment to student success and access. Retention and graduation rates lag behind recent initiatives to improve student persistence and so positive increases in graduation rates are expected over the next three to five years.

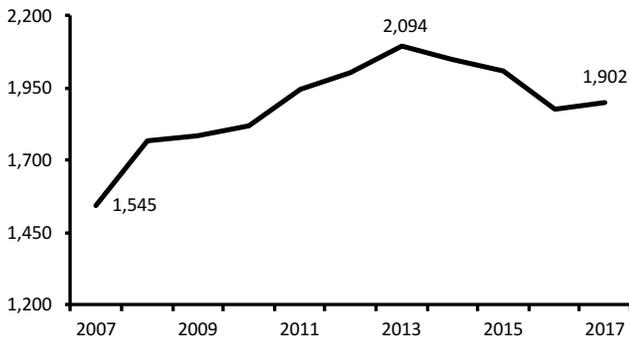
Table 4-6 shows how the Duluth campus compares with its peer group institutions, using rates for the class matriculating in 2009, the most current data available. As Figure 4-J shows, UMD awarded 23 percent more degrees in 2016–17 than in 2006–2007.

**Figure 4-I. Four-, five-, and six-year graduation rates of first-time, full-time undergraduate students, Duluth campus, classes matriculating in 2003–2013**



\*Rates include graduates who transferred to another University of Minnesota campus. Graduation rates displayed in Table 4-6 are those reported to the national database (IPEDS), which counts only students who matriculated at and graduated from the same campus. As a result, the rates presented in the figure above differ slightly than those displayed in Table 4-6.  
Source: Office of Institutional Research, University of Minnesota

**Figure 4-J. Undergraduate degrees awarded, Duluth campus, 2007–2017**



Source: Office of Institutional Research, University of Minnesota

**Table 4-6. Six-year graduation rates (class matriculating in 2009), Duluth campus and comparison group institutions**

	6-year Graduation Rate	Institutional Rank
CA Poly. State U.–San Luis Obispo	76%	1
Western Washington U.	71%	2
Col. of Charleston	68%	3
U. of Northern Iowa	68%	3
<b>U. of Minnesota–Duluth</b>	<b>60%</b>	<b>5</b>
South Dakota State U.	54%	6
Western Michigan U.	54%	6
U. of Michigan–Dearborn	53%	8
U. of N.C.–Charlotte	53%	8
Minnesota State U.–Mankato	49%	10
Southern Illinois U.–Edwardsville	49%	10
U. of Mass.–Dartmouth	46%	12
Comparison Group Average	58%	-

See footnote on Figure 4-I.  
Source: Integrated Postsecondary Education Data System (IPEDS)

## MORRIS CAMPUS

As a public liberal arts college, the University of Minnesota Morris occupies a distinctive place in the landscape of higher education and within the University system. Morris is the only public liberal arts college so designated in the state of Minnesota by the Council of Public Liberal Arts Colleges. With selective admissions and its focus on undergraduates in a residential, highly engaged learning community, Morris resembles the top private liberal arts colleges that populate the upper Midwest while serving a more diverse student population.

Morris is still young as an institution of higher education—the first college class entered in 1960. The college was founded by the University of Minnesota with strong support and advocacy from regional community leaders who envisioned a public liberal arts college on the Minnesota prairie. The historic campus was first home to an American Indian boarding school (1887–1910), then an agricultural boarding high school (1910–1963). This history informs the campus today and forms the foundation for the Morris campus’s unique opportunity, obligation, and dedication to serving rural students, American Indian students, and others from traditionally underserved backgrounds.

The campus mission unfolds within the context of the land-grant charge of the University system. The Morris campus provides a rigorous undergraduate liberal arts education, preparing its students to be global citizens who value and pursue intellectual growth, civic engagement, intercultural competence, and environmental stewardship. The Morris campus is a center for education, culture, and research for the region, and is committed to outstanding teaching, a dynamic learning environment, innovative faculty and student scholarship and creative activity, and public outreach. The residential academic setting fosters collaboration, diversity, and a deep sense of community.

Morris classes are taught by a dedicated and talented faculty, 99 percent of whom have earned terminal degrees in their fields. They are committed to teaching and mentoring undergraduates, and are recognized with the highest per capita membership in the

University’s Academy of Distinguished Teachers of any University campus or college. They value and embrace the University’s commitment to research, scholarship, and the production of artistic work. In 2016, the 130 Morris campus faculty members achieved over 115 research and creative activity accomplishments, including 75 refereed journal articles—many with students as coauthors.

## Maintaining Access to the Morris Campus

### Enrollment Strategy

The Morris campus’s enrollment strategy has been developed within the context of its 2007 strategic plan. The plan calls on the campus to maintain selective admissions; to reflect the state and region’s growing racial and ethnic diversity within the student body; and to increase the number of international students to add global perspectives to student life. It also affirms the continuing Morris commitment to serve West Central Minnesota and the state well.

Today, Morris is one of the state’s most diverse universities and the only four-year Native American Serving Non-Tribal Institution in the upper Midwest (U.S. Department of Education). American Indian students comprise under two percent of undergraduate students in Minnesota and the United States. In comparison, American Indian students comprise 21 percent of the Morris campus degree-seeking student population. Overall, American Indian students, students of color, and international students comprise over 40 percent of the Morris student body.

The campus enrollment strategy’s focus on recruiting and retaining a talented group of undergraduates has been consistent for decades, with the average ACT score for entering students remaining stable at 25 for over ten years. The combined focus on selectivity and diversity in an undergraduate-focused residential setting makes Morris a unique campus within the University system and in the state. Enrollment goals and strategies will be revisited during the strategic planning process beginning fall 2017.

### Accessible to Minnesotans

The Morris campus is accessible to Minnesota students, many from traditionally underserved backgrounds. In fall 2017, nearly 80 percent of Morris students are from Minnesota; about a third are from the Twin Cities metropolitan area. The campus continues to serve students from Stevens County and the immediate region at approximately the same percentage as it always has—however there are fewer rural high schools and regional graduates than there were when the Morris campus opened in 1960.

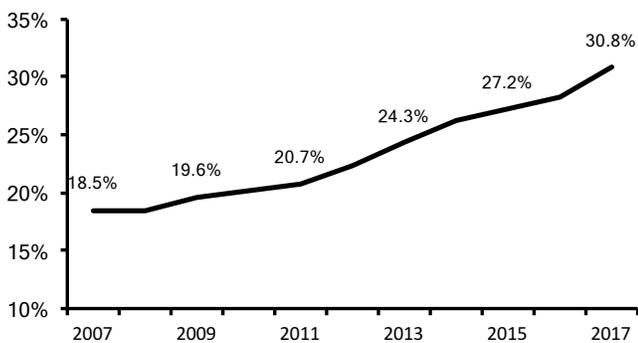
### Accessibility and Underserved Student Populations

In fall 2017, 31 percent of degree-seeking students on the Morris campus are students of color and American Indian students, the highest percentage in the University system (Figure 4-K). Twenty-one percent are American Indian students, and the Morris campus has the highest percentage of Native students at a four-year, non-tribal institution in the upper Midwest. When considering only the first-year class, students of color and American Indian students comprise 39 percent of new students in fall 2017. Morris's record of success serving these students positions the campus well to respond to the changing demographic trends in the region, the state, and the nation.

Forty percent of the Morris campus's 2017 new first-year students will be the first generation of their family to graduate with a four-year baccalaureate degree. Overall, first-generation college students comprise approximately one-third of the Morris student body.

The campus has sought external funding and directed internal University resources to support the success

**Figure 4-K. Percent undergraduate students of color by fall term, Morris campus, 2007–2017**



Source: Office of Institutional Research, University of Minnesota

of its diverse and talented student body. In July 2015, the campus received a five-year grant from the U.S. Department of Education to establish a TRIO Student Support Services project at Morris. With total funding of over \$1 million, the project is dedicated to supporting the college success of first generation students from low-income households and students with disabilities. In August 2015, Morris received a second federal grant from the U.S. Department of Education under the Native American Serving Non-Tribal Institutions (NASNTI) program of Title III to establish the Native American Student Success program at Morris. In fall 2016, academic coaching and support services were expanded to include all first-year students.

In fall 2017, the campus received a five-year, \$1.2 million TRIO Ronald E. McNair Post-Baccalaureate Achievement (McNair) Program grant from the U.S. Department of Education, dedicated to preparing cohorts of low-income, first-generation students and students from groups underrepresented in graduate education for doctoral study. The campus expects that, once fully implemented, these efforts will have a positive impact on student success, persistence, and retention.

### Access and Affordability

Morris serves an increasing number of students with financial need. In fall 2017, over 30 percent of Morris students received Pell Grants, compared to about a quarter of students in fall 2007. Overall, 84 percent of Morris students received financial aid in fall 2017. The campus offers three merit-based scholarships. An “achievement” scholarship is awarded to students who exhibit exceptional academic promise. In addition, two scholarships are awarded based on previous academic achievement and performance; students who receive these scholarships enroll and persist at rates well above the Morris campus's average for admitted students.

In addition to these grants and scholarships, the Morris campus offers a federally mandated and state-statute-supported American Indian tuition waiver unique to the Morris campus and tied to its history as an American Indian boarding school. While the unrealized tuition dollars associated with the waiver poses a growing and significant financial challenge for the campus, Morris remains fully committed to

the tuition waiver. It provides an attractive incentive to qualified Native students (admitted with the same requirements as all students) to enroll and persist, with educational benefit for these students and for the campus as a whole.

## Attracting Outstanding Students to the Morris Campus

The Morris campus is selective, with an average ACT score of 25 for entering students—an unusually high level of academic success for a campus enrolling such a high number of students from populations historically underrepresented in higher education.

Morris students have earned a reputation as smart and action-oriented, excelling within the classroom while also taking their learning out into the world. Morris students are responsible for a number of successful initiatives on campus, including the student-run recycling program; the composting initiative; the green revolving fund; the organic garden and the Native American garden; and the weekend bus that transports students to and from the Twin Cities.

Morris students win national awards—including the American Indian Science and Engineering Society “best chapter” award and the Association for the Advancement of Sustainability in Higher Education student leadership award. In 2017, four Morris students were awarded Fulbright scholarships.

The Morris campus is highly ranked by many national publications—including by *U.S. News and World Report* as a top-ten public liberal arts college for 18 consecutive years; by the Sierra Club’s *Sierra* magazine as a top-40 “Cool School” for five consecutive years (2017); by *Money* magazine as one of the ten most improved colleges and universities in the country based on its increased graduation rate (2016); in the *Forbes* annual ranking for best colleges and universities in the nation (2017); and by Fiske in its annual guide to “the best and most interesting” schools in the United States, Canada, and the United Kingdom (2017).

## Offering a Great Student Experience on the Morris Campus

The Morris campus offers a distinctive student experience, preparing students for success and producing outcomes that matter. With its undergraduate, residential focus, the campus offers a distinctive value proposition as a public “private,” providing the same focused experience as the upper Midwest’s many excellent private liberal arts colleges, but at half or a third the price, even factoring in typical financial aid packaging at the privates. The Morris campus’s ongoing efforts to create a model sustainable community make it an exciting destination for young people poised to invent a new future.

With an average class size of 16 and a student/faculty ratio of 14:1, Morris students are taught by a faculty with the University’s highest percentage of Horace T. Morse award winners for excellence in undergraduate education. Morris also supports a rich environment for student engagement. National Survey of Student Engagement data (2017) show that 95 percent of Morris seniors participated in at least one (and 79 percent participated in two or more) high-impact practices recognized for transformational effects on student learning and success (e.g., service-learning, research with faculty, internship/field experience, study abroad, a culminating senior experience), well above students at other public liberal arts colleges (see Table 4-7).

Morris students serve as teaching assistants, peer mentors, and tutors, and present at professional conferences alongside their faculty mentors. These experiences, of the type and quality often reserved for graduate students, are a springboard for meaningful employment and post-baccalaureate education.

Students are advised and mentored by their faculty, with professional success coaches added in the last three years to augment Morris’s long-standing faculty advising model. Coaches interact with students and connect them to the many support resources available, including the Office of Academic Success, counseling resources, and One Stop student services. The ultimate goal is to promote student success and improve retention.

**Table 4-7. Student engagement rates, Morris campus and comparison group institutions, spring 2017**

	Morris Seniors	COPLAC	NSSE All	Bac LA
Completed a culminating senior experience (capstone, project, thesis)	94%	77%	69%	85%
Attended art exhibits, dance, music, theater, or other performances	81%	63%	55%	78%
Participated in co-curricular activities during senior year	83%	61%	57%	85%
Held a formal leadership position in a student group	63%	46%	43%	69%
Worked on campus in a paid position during senior year	63%	46%	43%	69%
Worked on a research project with a faculty member	52%	41%	35%	53%
Studied abroad	42%	20%	21%	43%

Source: National Survey of Student Engagement

This table presents the percentage of seniors engaging in an activity prior to graduation at Morris compared with Council of Public Liberal Arts Colleges (COPLAC) peers as well as all four-year universities participating in the National Survey of Student Engagement (NSSE All). The Carnegie national Baccalaureate Liberal Arts colleges (Bac LA) group, of which Morris is a part, provides an aspirational comparison. This group of largely private colleges (nearly 90% are private), led by Williams College, Amherst College, and Bowdoin College, tend to be more well-resourced and serve more traditionally college-bound student populations with higher expectations for student engagement.

The Morris campus has a robust service-learning and engagement program, partnering with 80 area agencies, businesses, and organizations to enrich student learning and serve community needs. One example is Tutoring, Reading, and Empowering Children (TREC), a long-standing partnership that provides Morris students with opportunities to tutor and mentor children. TREC tutors are work-study, volunteer, or academic service-learning students serving at a variety of sites, including the Morris Public Library and bilingual programs on campus. More than 100 children participate in TREC annually, and assessments indicate that TREC participants make progress in school readiness, academic skills, and social skills as a result of their work with TREC tutors.

In 2015, the Morris campus was awarded the Carnegie Classification for Community Engagement, a prestigious designation the campus holds until 2025. Morris has been included in the federal President's Honor Roll of campuses recognizing the institution's outstanding commitment to community service.

A variety of student opportunities add value to the undergraduate experience and reflect the Morris campus mission. For example, 42 percent of Morris students have studied abroad by the time they graduate, which promotes the development of global citizenship and gives students experience and maturity that serve them well when they leave the institution.

More than half of Morris graduates have deepened their learning through mentored work with a faculty member on a research project. Many of these projects provide student stipends and research support through the University's Undergraduate Research Opportunities Program; the National Science Foundation; the Howard Hughes Medical Institute grant; the Truckers and Turnover Project, funded by Schneider Trucking in Green Bay, Wisconsin; the Center for Small Towns; other grants, and donor-funded research awards.

In the most recent National Survey of Student Engagement, nearly 90 percent of Morris seniors reported that, if they could start college all over again, they would go to Morris (5 percentage points above seniors at other public liberal arts colleges) and 93 percent rate their overall educational experience at Morris as good or excellent, with the majority choosing excellent.

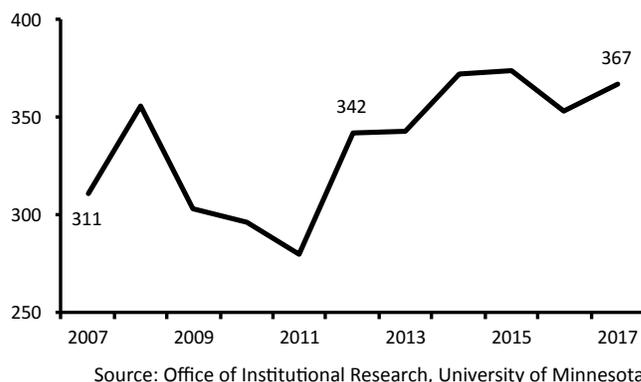
## Preparing Morris Campus Graduates for Success

Ninety-five percent of Morris students who graduated in 2015 indicated that they were employed and/or in graduate or professional school one year after graduation; nearly one-fourth of Morris students proceed directly to graduate and professional school following graduation. Figure 4-L shows the total number of undergraduate degrees awarded.

Retention continues to be a challenge for all higher education institutions, and Morris is no exception. In the past several years the first-year retention rate has hovered around 80 percent (Figure 4-M). This is accounted for in part by the challenges found in enrolling a talented but under-resourced undergraduate population. As described above, the campus has implemented a new model of advising and coaching intended to boost retention toward the campus goal of 90 percent. In addition, the campus has expanded its peer mentoring program and academic alert initiatives, expanded its grant-funded individualized academic success plans to include all students, and is evaluating a plan for parallel major program pathways. In fall 2017, Morris will begin a multi-year, campus-wide project focused on increasing first-year student retention. The three components of the work are: conducting a systematic, integrated assessment of the campus's large suite of first-year retention efforts; utilizing system resources to provide additional mental health and well-being programming; and making participation in high-impact practices, a hallmark of the Morris experience, more explicit, available, and accessible to first-year students.

Graduation rates continue to be high when compared to many other public, four-year baccalaureate institutions, especially when characteristics of

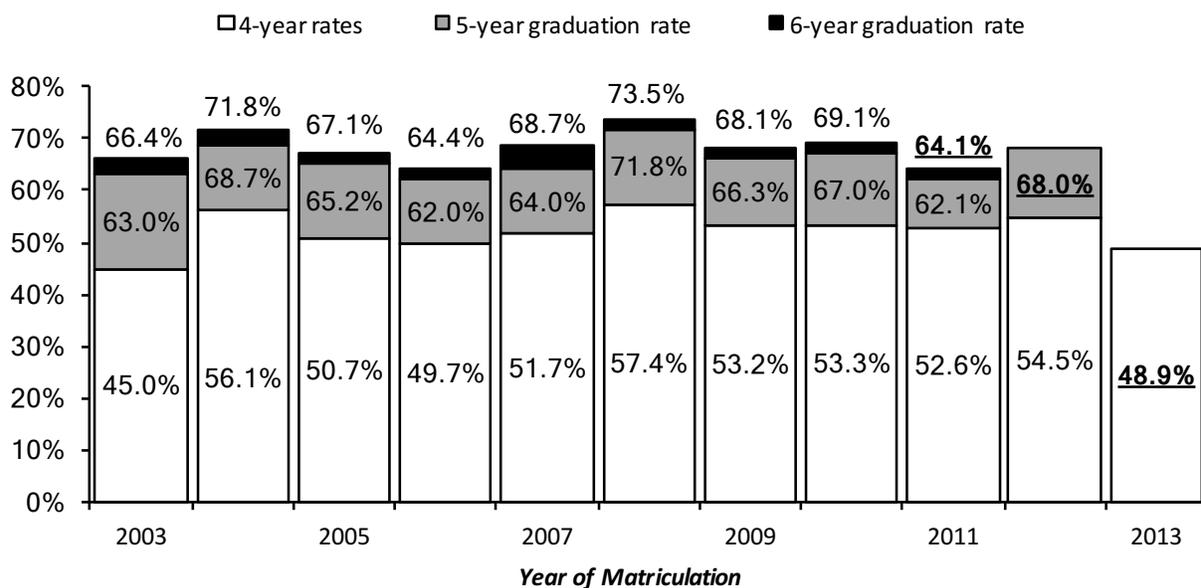
**Figure 4-L. Undergraduate degrees awarded, Morris campus, 2007–2017**



**Figure 4-M. First-year retention rates of first-time, full-time undergraduate students, Morris campus, classes matriculating in 2006–2016**



**Figure 4-N. Four-, five-, and six-year graduation rates of first-time, full-time undergraduate students, Morris campus, classes matriculating in 2003–2013**



\*Rates include graduates who transferred to another University of Minnesota campus. Graduation rates displayed in Table 4-8 are those reported to the national database (IPEDS), which counts only students who matriculated at and graduated from the same campus. As a result, the rates presented in the figure above differ slightly than those displayed in Table 4-8.  
Source: Office of Institutional Research, University of Minnesota

the student population are taken into account (**Progress Card Measure**). A Midwestern Higher Education Compact 2015 report ranks Morris as the most effective and efficient four-year university in Minnesota. The study's two metrics allow a more meaningful comparison of graduation rates and cost-per-graduate among disparate institutions, taking into account differences in demographics and environments. Morris produces more graduates than expected (a high Effectiveness Score) while spending less than expected per graduate (a low Expenditures Score). Of the 634 high-performing, four-year institutions included in the national report, Morris

ranks in the top five percent. There are only 27 four-year universities in the nation that outperform Morris on both metrics simultaneously.

About 50 percent of Morris students graduate in four years. The 2013 four-year graduation rate of 49 percent and six-year rate of 64 percent are lower than campus goals, although comparable to peer institutions (Figure 4-N). Table 4-8 shows how the Morris campus compares to each of its comparable peer institutions and to the average of its aspirational peers. Rates are for the class matriculating in 2009, the most current data available.

**Table 4-8. Six-year graduation rates (class matriculating in 2009), Morris campus and comparison group institutions**

	6-year Graduation Rate	Institutional Control	Institutional Rank
St. Mary's Col. of Maryland	78%	Public	1
Concordia Col.–Moorhead	73%	Private	2
Coe Col.	67%	Private	3
Albion Col.	65%	Private	4
<b>U. of Minnesota–Morris</b>	<b>65%</b>	<b>Public</b>	<b>5</b>
Lycoming Col.	64%	Private	6
U. of N.C.–Asheville	60%	Public	7
U. of Maine–Farmington	59%	Public	8
SUNY at Purchase Col.	58%	Public	9
Mass. Col. of Liberal Arts	52%	Public	10
U. of Virginia's Col. at Wise	41%	Public	11
Comparable Group Average	62%	-	-
Aspirational Peer Average*	85%	Private	-

See footnote on Figure 4-N

Source: Integrated Postsecondary Education Data System (IPEDS)

\*Aspirational peer institutions: Macalester College (90%), St. Olaf College (87%), Kalamazoo College (83%), DePauw University (82%), Gustavus Adolphus College (82%)

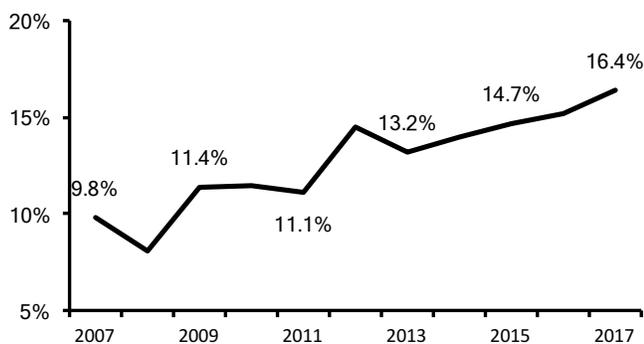
# CROOKSTON CAMPUS

## Maintaining Access to the Crookston Campus

Beginning its 25th year as a baccalaureate-level institution (and its 51st as an institution of higher learning), the Crookston campus attracts a diverse group of high-potential students—both traditional and non-traditional—from across the region, state, country, and globe. Students choose Crookston because they seek a supportive, small-campus experience, a distinctive academic program, and/or a personalized online experience—all while earning a degree with the prestige of the University of Minnesota. The campus serves as an important access point to the University’s programs for citizens living in northwest Minnesota and from across the entire state; 47 percent of on-campus students come from rural Minnesota and 17 percent from the seven-county Twin Cities metro area, while 35 percent of online students live in the Twin Cities. Accessibility is reflected in enrollment trends.

As shown in Figure 4-O, 16.4 percent of Crookston’s degree-seeking students identify as students of color, and, based on country of citizenship, Crookston’s student body includes representation from 42 countries (fall 2017). In addition, the campus has a long history of serving a significant number of first-generation students and students from low socio-economic backgrounds. Recruitment of these students is part of an intentional strategy that aligns with the Crookston campus’s core values, which include diversity and student success.

**Figure 4-O. Percent undergraduate students of color by fall term, Crookston campus, 2007–2017**



Source: Office of Institutional Research, University of Minnesota

Traditionally, a large percentage of the new high school graduates attending Crookston are first-generation college students—for fall 2017 it is 40 percent. These students are drawn to the campus’s personalized focus on teaching and advising, as well as its small class sizes and numerous leadership opportunities. Conditionally admitted and at-risk students—and essentially all students—benefit from the Crookston campus’s small classes and personalized, supportive environment.

The Crookston campus continues to be extremely cost efficient and cost effective, as demonstrated by the relatively low expenditure per degree within the University system. It also offers the lowest tuition rate within the system, in part to serve students with the lowest average family income. For fall 2017, students enrolled at Crookston:

- come from families with the lowest average annual household income, \$64,805, for students within the University system who applied for and received financial aid;
- receive the need-based Federal Pell Grant at a higher rate, 34 percent, than students at the other system campuses; and
- are significantly more likely to be first-generation college students (38 percent).

Since it began offering baccalaureate degrees in 1993, the Crookston campus has drawn a steady number of transfer students. Due to historically strong relationships with two-year colleges, Crookston has developed more than 50 active articulation agreements with community and technical colleges across the Upper Midwest. The three-year graduation rate for transfer students choosing to attend classes on campus is 66 percent. The three-year graduation rate for transfer students opting for online study is significantly lower, at 28 percent, but that is not surprising given that the majority of online students are part-time students.

Because of its relatively small size and its entrepreneurial faculty and staff, the Crookston campus has a strong record of being nimble and rejecting complacency, and it has a demonstrated history of adapting to and embracing new technologies such as online learning. Crookston’s initial online degree program had its first graduates in 2001. Today,

14 of the 34 majors are offered fully online as well as on campus, and more than 50 percent of total degree-seeking student enrollment is composed of online students (Figure 4-P). An extension of the modern land-grant mission, these online degree programs allow working professionals the opportunity to complete their bachelor's degree and advance within their career paths when traditional programs don't meet their needs. Students attending online overwhelmingly fall into the non-traditional category. The average age of these students is 31.8 (with 77 percent over age 25); they are enrolled for an average of nine credits; and typically they are employed. Most have already completed a significant number of college credits (an average of 68 transfer credits). While they are predominantly Minnesota residents (69 percent), there is rich diversity among Crookston's online students, with 17 percent identifying as students of color and 30 countries represented (fall 2017).

In addition to degree-seeking students, the Crookston campus serves other non-traditional students. For example, College in the High School (CIHS) and Post-Secondary Enrollment Option (PSEO) students are high school students concurrently earning college credit, and they comprise 97 percent of Crookston's 1,037 non-degree students (fall 2017). Crookston also serves eleven non-degree students through its English as a Second Language (ESL) program. Through these programs, the Crookston campus helps make higher education accessible and more affordable for students and their families, and gives them the flexibility to graduate from college more quickly or to take lighter course loads while balancing employment, completing

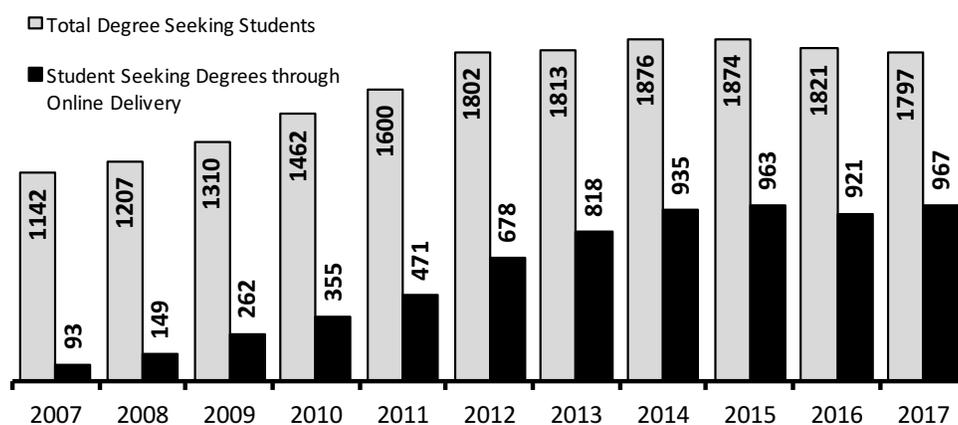
internship requirements, conducting undergraduate research, and/or participating in intercollegiate athletics.

## Attracting Outstanding Students to the Crookston Campus

The Crookston campus attracts outstanding students through its distinctive learning environments and academic programs. The Crookston campus's marketing theme "Small Campus. Big Degree." is reinforced by the reasons students give for choosing to attend. Of the respondents to the new-student survey in fall 2017, 79 percent indicated the size of campus was a reason for selecting the Crookston campus, 68 percent indicated that the Crookston campus was their first-choice college, and 60 percent indicated as a reason the type of academic programs available.

Crookston's average ACT score for incoming new high school graduates is 22.1, which is lower than the other campuses in the University system. Published research acknowledges limitations of standardized tests as the sole gauge of likely postsecondary success, and at least one study noted a positive correlation between test scores and socioeconomic status. For fall 2017, of Crookston's incoming new high school graduates, 29 percent come from families with annual income of \$48,000 or less. Crookston's holistic admissions process considers ACT scores along with high school GPA and leadership experience, and it often involves personal interaction with the applicant. Crookston's smaller campus environment and strong focus on student support services further nurture and enhance

**Figure 4-P. Total enrollment and online enrollment, Crookston campus, fall 2007–2017**



Source: University of Minnesota Crookston

student success and, combined with this holistic admissions process, allow a wider array of students to fulfill their potential while maintaining access to University of Minnesota programs.

Distinctive majors attract excellent students. The Crookston campus offers several majors that are not found elsewhere in the University system, including agricultural systems management, agronomy, applied health, aviation, criminal justice, equine science, golf and turf management, horticulture, manufacturing management, quality management, and software engineering. The pre-veterinary option in animal science and equine science has been growing for many years, drawing students from across the United States. It has also developed a distinctive measure of quality: in the past five years, 40 percent of Crookston students who completed the pre-vet emphasis (including those admitted into the VETFAST program) have gone on to veterinary school. The national average of successful applicants is approximately 10 percent.

The Crookston campus continues to expand the capacity for undergraduate research to meet the need of the increasing numbers of students who indicate a desire to continue their education beyond a baccalaureate degree. Opportunities for students to engage with faculty in research are growing due to the hiring of new faculty adept at research along with cost-effective space renovations resulting in more and better lab space. Crookston's acceptance (in 2015) into the Small World Initiative (SWI) escalates the role and visibility of undergraduate researchers as they work with biology faculty in this international research effort to find countermeasures to antibiotic resistance and the resulting diminishing supply of effective antibiotics—among the biggest grand challenges in global health today. Biology faculty and students have been researching alternatives in this area for a number of years, and through the affiliation with SWI, Crookston has joined a larger effort. The Crookston campus is the first in the University system to be a part of this initiative.

Undergraduate researchers will also play a significant role in a new three-year study at Crookston, funded by the state's Environment and Natural Resources Trust Fund, that will examine the ecological role of freshwater sponges and how they may reflect or indicate levels of water quality. This research will

be conducted in the new Center for Collaborative Research, Crookston's first centralized, self-contained, transdisciplinary lab research facility. The lab—funded by the University's Research Infrastructure Investment Program with a match from Crookston campus—will become operational in early 2018.

Technology has been embedded throughout the curriculum at Crookston since its founding in 1966. The campus's longstanding laptop initiative puts computers in the hands of all full-time, on-campus students and faculty members. This program will be reviewed during the 2017–2018 academic year to determine what might be modified to meet current student, faculty, and employer needs. A specialized informatics laboratory offers students the opportunity to work with emerging technologies. This lab is used by students from many different majors, but it is especially important to software engineering students for software development and research. Crookston has prioritized strengthening its software engineering degree program through faculty hires and student recruitment, as this has significant potential to draw talented students as well as to contribute to society.

Another of Crookston's foremost technology achievements has been the development of a number of degree programs that are offered entirely online, positioning the campus as a leader in online learning within the University system. Crookston faculty and staff continue to find ways to engage online students in campus life through video streaming of events and to offer support services, such as tutoring, online. An added benefit is that online coursework offers flexibility not just for online-only students, but also for on-campus students with class schedule conflicts.

Crookston's culture is one of continuous improvement. A member of the Academic Quality Improvement Program (AQIP) pathway since December 2010, the campus successfully completed its Comprehensive Quality Review under the AQIP pathway in November 2015, earning many compliments from its Higher Learning Commission (HLC) site visit team as well as reaffirmation of accreditation from HLC in February 2016. An example of a recently completed AQIP Action Project is "Developing Advisory Assessments for Optimal Mathematics Placement," which was completed in December 2016. Additionally, a new orientation process was implemented in fall 2017 to

facilitate the transition to the Crookston campus for incoming transfer students. As a member of the HLC's Persistence and Completion Academy, the campus will focus considerable continuous improvement efforts on increasing student retention and graduation rates over the next four years.

The Crookston campus continues to use existing programmatic strengths as well as current faculty expertise to offer an expanded array of majors for students. With very little additional cost, this helps drive enrollment through recruitment and retention, providing new and current students with more choices. In June 2015, two additional majors—Exercise Science & Wellness and Medical Laboratory Science—were approved by the Board of Regents to be available to students in fall 2015. The Board of Regents also approved a new major in Agricultural Education, which was reviewed by the Minnesota State Board of Teaching and granted licensure approval in October 2015. In 2017, the board approved an online offering of the current major in Agricultural Business (to begin in fall 2018) and a new Honors Program that began in fall 2017.

## Offering a Great Student Experience on the Crookston Campus

Students receive outstanding support and have an enriching experience through small class sizes, strong personalized advising, and access to faculty, experiential learning, and athletics.

The Crookston campus's small class sizes offer students personalized attention and greater access to faculty members for advising and mentorship. Presently, 90 percent of on-campus classes have 25 or fewer students. The largest class is 59 students, and the average class size is 14. Online classes, which average 21 students per class, also offer a very personalized, quality educational experience.

A hallmark of the Crookston campus is its focus on experiential learning. Students learn concepts and actively apply them through projects, simulations, field trips, site visits, community engagement and service learning projects, and interactions with professionals in the field. An internship experience is required

of most on-campus students. Online students also complete an internship unless their work experience allows them to waive the internship requirement. A number of classes also incorporate service-learning projects, working with the campus's Office of Community Engagement.

Co-curricular opportunities enhance the student experience by connecting students to one another as well as to the campus and local communities and by fostering leadership development. Approximately 40 student clubs and organizations, along with student government, athletics, and residential life peer leadership and programming, offer options for personal and leadership growth. Most academic majors have a corresponding student club or organization, and all officially recognized student clubs are required to participate in two service projects per semester. In 2016–2017, Crookston students served a total of 11,598 volunteer hours.

NCAA Division II athletics provides student-athletes with balanced opportunities for academic excellence, leadership, and development of athletic skills. Students continue to cite Division II athletics as a significant reason they choose to attend the Crookston campus, and student-athletes comprise 30 percent of Crookston's on-campus enrollment. In 2016–2017, 23 percent of Crookston's student-athletes earned Northern Sun Intercollegiate Conference (NSIC) All-Academic Team honors, recognizing 3.2 or higher GPAs. Using the same criteria, that number rises to 27 percent earning All-Academic honors with the inclusion of student-athletes involved in equestrian sports (equestrian sports are not a fully sanctioned NISC sport at this time; Crookston competes in equestrian sports through the Intercollegiate Horse Show Association).

While Crookston faculty members' primary focus is on teaching, many also conduct research and engage in scholarship, frequently involving students in that work. Such faculty mentorship and role modeling offer students excellent graduate school preparation. There is growing interest in and support for undergraduate research by faculty from all academic departments. In addition to six Undergraduate Research Opportunities Program projects, 13 Crookston Student Research and Creative Works projects were funded in 2016–2017.

Five Crookston students presented their projects at the 2017 National Conference on Undergraduate Research; one student's undergraduate research project led to a research internship in Nancy, France; and another student interned for six months at one of the premiere equine medical facilities in the country, Hagyard Equine Medical Institute in Lexington, Kentucky. Two faculty members are integrating active, ongoing research into the undergraduate curriculum throughout all microbiology lab sections. Several faculty members also engage in the scholarship of pedagogy. This applied research, which is often based in the faculty member's discipline, contributes directly to Crookston students' learning experience while also disseminating valuable pedagogical insights through publications and presentations.

In the area of internationalization of the curriculum, the Crookston campus works closely with units on the Twin Cities campus, including the Global Programs and Strategy Alliance, the Learning Abroad Center, the Confucius Institute, International Students and Scholars Services, and the Center for Educational Innovation. Two biology faculty members mentored faculty in both the 2014–2015 and the 2015–2016 cohorts of the University-wide Internationalizing Teaching and Learning (ITL) Program. As a result of this mentoring, 75 percent of the biology faculty at Crookston have received ITL training. In spring 2016, the campus held its first annual conference open to all faculty members for internationalizing the curriculum. In fall 2017, the campus began a process to evaluate the effectiveness of these efforts.

The Crookston campus has been recognized for its quality programs by such organizations as *U.S. News & World Report*, which ranked the campus first in the 2018 “Top Public Regional Colleges–Midwest” category (released September 2017). *U.S. News* has ranked the Crookston campus among the top four in this category for the past 21 consecutive years. Crookston's various online programs have also ranked highly in online resources such as *Niche*, *Online College Plan*, *College Choice*, and *The Best Schools*.

The Crookston campus provides a safe and welcoming environment for its students, employees, and visitors. The campus will continue its efforts reflected by its ranking among the safest public campuses in Minnesota and among the safest in the country.

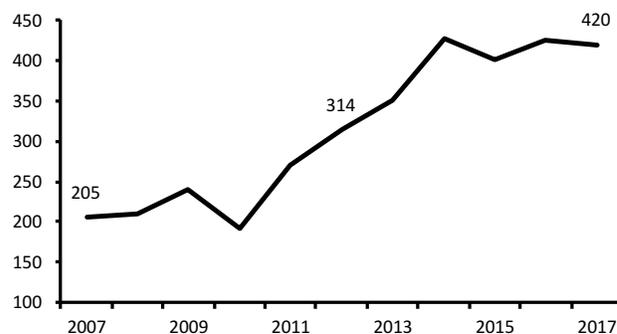
The new campus Wellness Center opened fall 2016. Well-received by the student body, the facility offers on-campus students a space to develop wellness habits and supplements the living-learning environment in many ways, especially for students enrolled in Crookston's major in Exercise Science & Wellness as well as the established major in Sport & Recreation Management. Facilities like this have been shown to aid in recruitment and retention efforts, as well.

## Preparing Crookston Campus Graduates for Success

The Crookston campus continues to improve retention and graduation rates (**Progress Card measure**), and students are positioned to be successful and productive employees and citizens. Over the 2016–2017 academic year, 420 bachelor's degrees were awarded (Figure 4-Q), down slightly from the historic high of the previous year, but still more than double the number of degrees awarded in 2007.

Work to improve graduation rates began even before the 2006 strategic planning efforts established goals to improve the campus's four-, five-, and six-year graduation rates to 40, 50, and 55 percent. The campus met the goal of 50 percent of those entering in fall 2008 graduating in five years. In summer 2015, new graduation rate goals were set: the four-year target graduation rate for students entering in fall 2016 and graduating in 2020 is 45 percent; the six-year target graduation rate for this class is 60 percent. Recent trends indicate graduation rates are up significantly from the entering classes of 2003–2009. The first-year retention rate is higher than it was ten years

**Figure 4-Q. Undergraduate degrees awarded, Crookston campus, 2007–2017**



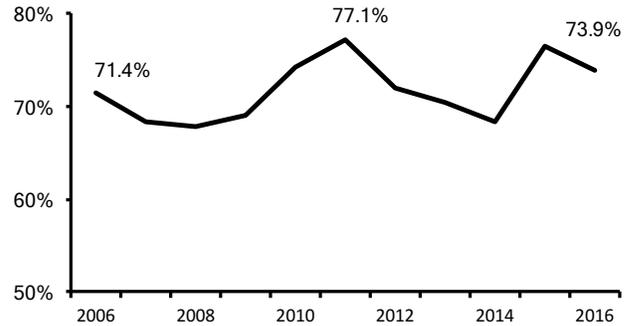
Source: Office of Institutional Research, University of Minnesota

ago (Figure 4-R), while the four-year graduation rate of the entering class of 2012 nearly doubled that of the entering class of 2003 (Figure 4-S). Table 4-9 shows how the Crookston campus compares with its peer group institutions, using rates for the class matriculating in 2009, the most current data available. The most recent trends in rates suggest that the campus will rank better in subsequent years, when data for those classes become available for comparison.

There is a national and state interest in meeting workforce needs in science, technology, engineering, and math (STEM). In fall 2017, 58 percent of Crookston’s on-campus and 26 percent of online students were enrolled in STEM-related majors, such as agriculture, natural resources, environmental sciences, software engineering, information technology, and biological and health sciences.

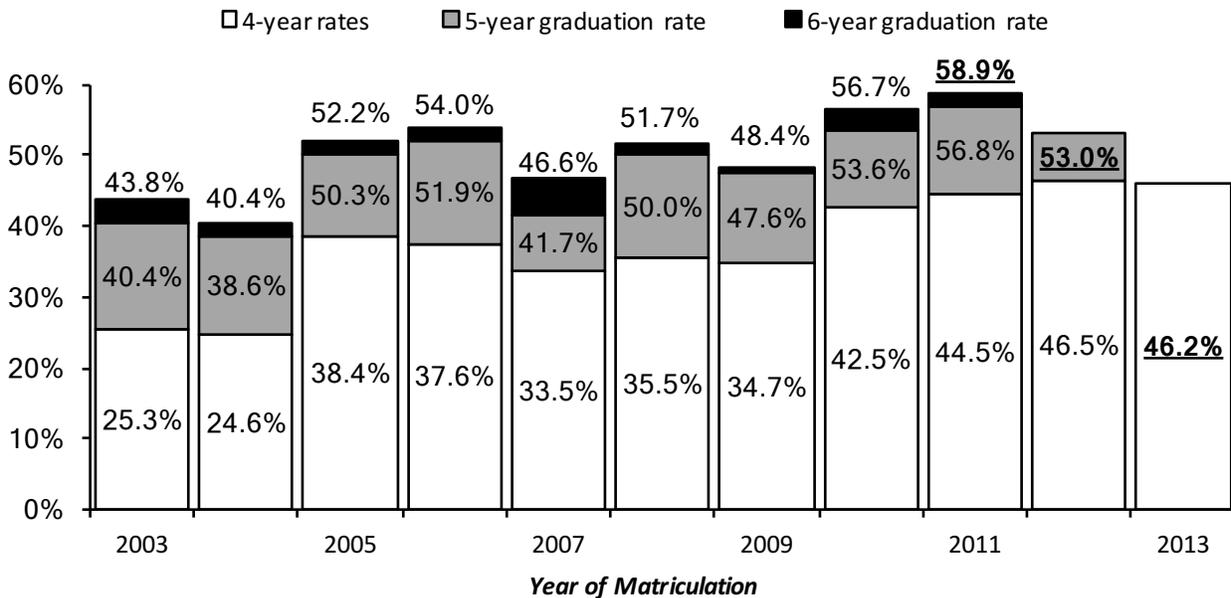
Crookston’s Strategic Enrollment Management Committee, created in 2013, continues to guide campus efforts to achieve and maintain a critical mass of students on campus while also growing strategically online. As part of this initiative, all Crookston units are implementing plans and strategies to contribute to recruitment and retention efforts.

**Figure 4-R. First-year retention rates of first-time, full-time undergraduate students, Crookston campus, classes matriculating in 2006–2016**



Source: Office of Institutional Research, University of Minnesota

**Figure 4-S. Four-, five-, and six-year graduation rates of first-time, full-time undergraduate students, Crookston campus, classes matriculating in 2003–2013**



\*Rates include graduates who transferred to another University of Minnesota campus. Graduation rates displayed in Table 4-9 are those reported to the national database (IPEDS), which counts only students who matriculated at and graduated from the same campus. As a result, the rates presented in the figure above differ slightly than those displayed in Table 4-9.  
Source: Office of Institutional Research, University of Minnesota

**Table 4-9. Six-year graduation rates (class matriculating in 2009),  
Crookston campus and comparison group institutions**

	6-year Graduation Rate	Institutional Rank
U. of Wisconsin–River Falls	57%	1
U. of Pittsburgh–Johnstown	55%	2
U. of Wisconsin–Platteville	54%	3
Northern State U.	48%	4
Northwest Missouri State U.	47%	5
U. of Tennessee–Martin	46%	6
<b>U. of Minnesota–Crookston</b>	<b>45%</b>	<b>7</b>
SUNY Col. of A&T at Cobleskill	41%	8
Lake Superior State U.	40%	9
Southwest Minnesota State U.	39%	10
Indiana U.–Kokomo	29%	11
Northwestern Oklahoma State U.	20%	12
Comparison Group Average	43%	-

See footnote on Figure 4-S

Source: Integrated Postsecondary Education Data System (IPEDS)

## ROCHESTER CAMPUS

The University of Minnesota Rochester is distinctive in its approach to undergraduate education. With a health sciences focus, students explore the wide array of healthcare career pathways while completing an innovative, integrated common core in their first two years. This interdisciplinary, health-relevant coursework includes mathematics, physics, chemistry, biology, Spanish, literature, philosophy, writing, and history. Students progress through this integrated coursework toward defined learning and development outcomes, engaging in the high-impact practices identified by the American Association of Colleges and Universities (learning communities, first-year experiences, common intellectual experiences, writing-intensive courses, collaborative assignments and projects, undergraduate research, global learning, community-based learning, internships, and capstone courses and projects).

### Offering a Great Student Experience on the Rochester Campus

#### Extraordinary Core Curriculum and Research-Fueled Instruction

Pedagogical decisions are made through a collective process, based on teaching and learning research:

- Flipped classrooms are the norm.
- Rigor begins on day one. For example, first-year students start with Organic Chemistry in a unique model supported by UMR learning research.
- Relevance and efficiency are standard, as liberal education objectives are contextualized in the health sciences.
- Academic support is personal and available in the Just Ask center staffed by teaching and subject-matter specialists.
- Relationships are central. Student development support is personal and available with the unique Student Success coaching model.
- Collaborative teaching teams enhance student learning and development.
- Writing instruction is integrated into the curriculum and supported by writing specialists.
- Collaborative and active learning are routine.
- Community-based learning is valued and thus required.
- Grand challenges of 21st-century healthcare frame student learning and development in and out of the classroom.
- Intentionality and coordination in the design and assessment of the curriculum further enhance student learning as faculty commit to “our curriculum” rather than “my course.”

#### Extraordinary Customization and Efficiency

As students emerge from their foundational learning and development having participated in intentional career pathway exploration, a customized learning experience occurs in their junior and senior years. All students engage deeply in community-based learning, after which they determine, propose, enact, and present an individualized, self-directed, capstone experience tailored to their emerging interests. Nearly half of Bachelor of Science in Health Sciences (BSHS) students study away during their senior-year capstones; many others serve as research lab assistants and scribes at the Mayo Clinic. For BSHS students, these customized capstones have created career pathways and admittance into programs of future study in biomedical engineering, law, medicine, occupational therapy, public health, physical therapy, dentistry, pharmacy, healthcare administration, research, and more. Though most complete a Bachelor of Science in Health Sciences, other students apply for and complete the Bachelor of Science in Health Professions (BSHP) in sonography, echocardiography, radiography, or respiratory care.

#### Extraordinary Expectations for Success and Evidence-Driven Decisions

Each student’s distinctive undergraduate educational journey is guided by a success coach, with student learning and development outcomes assessed in both curricular and co-curricular endeavors. Results of faculty research are informing revisions of student outcomes, an assessment plan, and the campus’s approach to optimizing distinctive sets of high-impact practices.

## Expanding Access to the Rochester Campus

A grand challenge for the healthcare industry is diversifying the workforce. According to a U.S. Department of Health and Human Services report, one of the most compelling reasons is that a “more diverse health professions workforce ... will lead to improvements in public health” (2006).

Supporting diversity in the professional healthcare workforce ranks, including the professions of physician, dentist, pharmacist, researcher, and others, requires first providing access and success at the undergraduate level. The Rochester campus is accessible to a wider range of students and their success is supported through personalized academic programming, life coaching, and a rigorous curriculum.

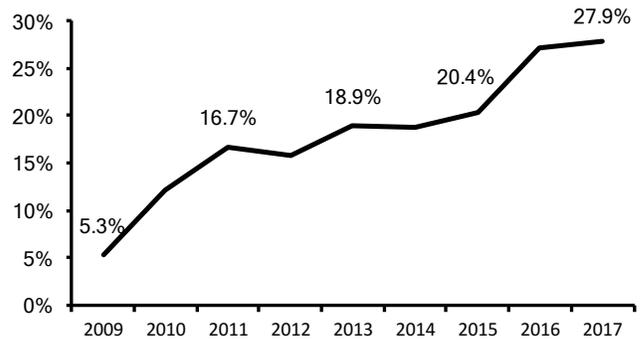
The campus recruits, values, and remains accessible to students with interest and passion in the health sciences, including:

- in-state and out-of-state students
- low- and middle-income students
- students of color
- first-generation students
- international students
- transfer students

As depicted in Figure 4-T, the Rochester campus has made progress on its goal of increasing the percentage of undergraduate students of color to equal or exceed the percentage of people of color in the general population of Minnesota.

The Rochester campus is uniquely positioned to support students and prepare them for their professional futures. Students of color on the Rochester campus succeed at the same or greater rates than their peers. This evidence reveals the effectiveness of the campus’s approach to undergraduate education, with established research-based, high-impact practices enhancing student success. In addition, the campus has launched Health CORE (Community of Respect and Empowerment), a living-learning community of 40 competitively selected, underrepresented students.

**Figure 4-T. Percent undergraduate students of color by fall term, Rochester campus, 2009–2017**



Source: Office of Institutional Research, University of Minnesota

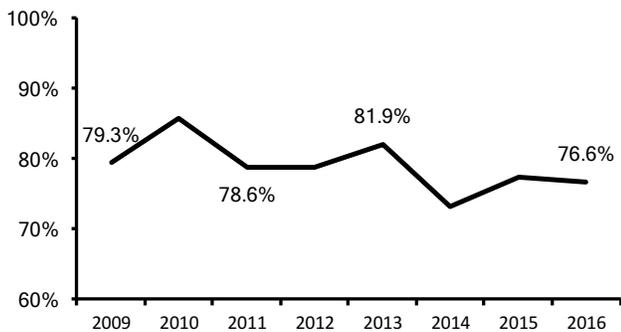
This residential life and civic engagement program builds on the Rochester campus’s strengths in undergraduate health sciences education, including its learning cohort model for years one and two. The mission of Health CORE is to enhance diversity and inclusivity in the student experience through intentional community development and support. The vision of the CORE is to support the success of underrepresented, undergraduate students who will infuse the healthcare field with their distinct perspectives, a development necessary to solve the grand healthcare challenges.

Given the success of Health CORE and student interest, the Rochester campus has established three additional living-learning communities (LLCs). The Global Connections program aims to support the success of international and domestic Rochester students who model intercultural competence, global citizenship, and commitment to solving global health challenges within the healthcare field. The ROC! (Recovery on Campus) program is a collegiate recovery community, expected to model transformational living, civic engagement, wellness, and high-integrity leadership while addressing the stigma of addiction within the healthcare field. The Minnesota Legislature designated funds to support the launch of ROC! and the dissemination of information regarding collegiate recovery communities to other public universities in the state. The newest LLC, the health and wellness living-learning community, shares residential space with ROC! and leads campus endeavors to enhance student well-being.

All UMR students complete a series of development courses designed to support student success,

professional exploration, and other developmental outcomes. Students who transfer in the Health Sciences program work closely with the director of student success coaching and their assigned student success coach to make their transition efficient. Students who transfer into the Health Professions program connect directly and are supported through their academic program by a BSHP transfer coach to serve their specific needs. Retention rates (as shown in Figure 4-U) are one indication of this accessibility and academic support.

**Figure 4-U. First-year retention rates of first-time, full-time undergraduate students, Rochester campus, classes matriculating in 2009–2016**



Source: Office of Institutional Research, University of Minnesota

During this past year, the Rochester campus has also focused on promoting an environment of health and wellness on campus. To support students, the campus has hired a licensed psychologist to provide student counseling, intervention, crisis response, training, and education around the issues of mental health.

## Preparing Rochester Campus Graduates for Success

Five classes of students have now graduated from Rochester. Figure 4-V indicates the numbers of degrees awarded, with increases expected moving forward. Of the students who have graduated in the first four classes, nearly all have “finished in four,” a commitment central to the Rochester approach to undergraduate education (see Figure 4-W). **(Progress Card Measure)**

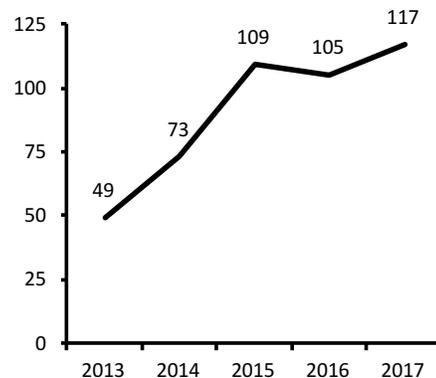
Bachelor of Science in Health Sciences graduates are moving into a range of positions, including but not limited to:

- Biomedical Engineering
- Dental, Medical, Pharmacy, or Veterinary School
- Health Care Administration
- Health Care Policy
- Health Care Research
- Health Care Technology
- Law School
- Medical Lab Science
- Medical Scribe
- Naturopathic Medicine
- Occupational Therapy
- Physical Therapy School
- Physician Assistant School
- Public Health Education
- Sports Medicine
- Varied Ph.D. Programs

To date, 100 percent of Bachelor of Science in Health Professions graduates have passed their exams and are employed in the fields of echocardiography, radiography, respiratory care, and sonography.

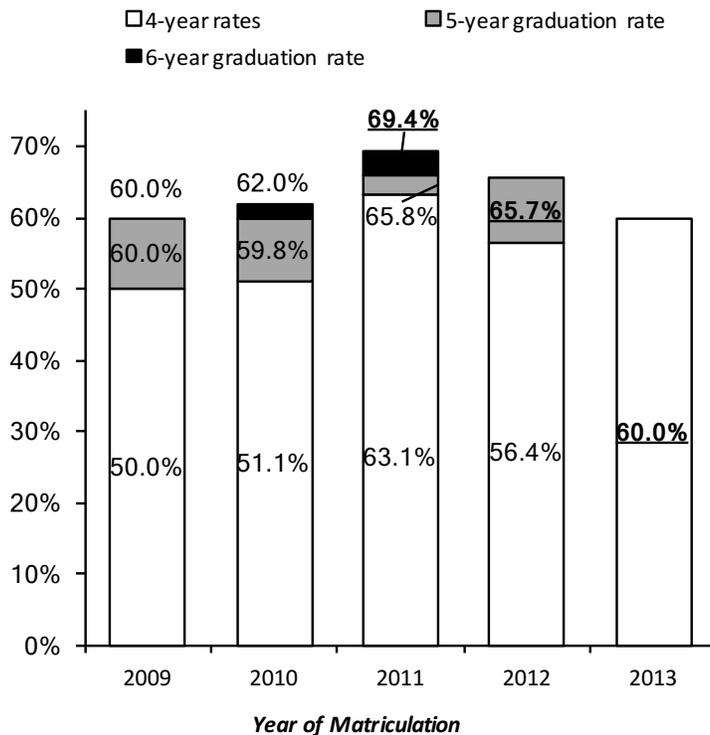
Of the 2017 graduating class, over 90 percent graduated in four years or less, with 100 percent of BSHS students completing a faculty-supervised capstone experience. Of those graduates, self-reported data prior to commencement indicated that approximately 75 percent would be employed in a health-related context, with 33 percent intending to work for a year before continuing their

**Figure 4-V. Undergraduate degrees awarded, Rochester campus, 2013–2017**



Source: Office of Institutional Research, University of Minnesota

**Figure 4-W. Four- and five-year graduation rates of first-time, full-time undergraduate students, Rochester campus, classes matriculating in 2009–2013**



\*Rates include graduates who transferred to another University of Minnesota campus.

Source: Office of Institutional Research, University of Minnesota

education. Approximately 19 percent had been admitted into graduate school prior to graduation. Overall, graduates’ self-reported data at the time of commencement indicate that the majority (52 percent) of 2017 graduates expect to attend a health sciences–related graduate or professional school.

### Extraordinary Future UMR 2.0

In the first ten years, the Rochester campus has established a nationally distinctive undergraduate health sciences program. The campus will now work to sustain innovation, agility, efficiency, and excellence to address the ever-evolving needs in higher education and health care. As stated in UMR’s Strategic Plan Framework, the campus will inspire transformation in higher education through innovations that empower graduates to solve the grand health challenges of the 21st century. For example:

- to further serve the citizens of Minnesota and the demands of the healthcare industry in the region, the campus will continue growth in student

enrollment while sustaining an innovative, high-impact approach to education;

- to further serve student learning and development, the campus will explore additional avenues for partnerships to enhance community-based learning and customized capstones;
- to further the individualized care of students, the Rochester campus will document, assess, enhance, and share its Student Success Coach model;
- to further the benefit of learning communities, the Rochester campus will assess the efficacy of its four living-learning communities;
- to further students’ academic achievement while addressing the challenges of higher education, the Rochester campus will document, assess, enhance, and share its pedagogical innovation; and
- to share the Rochester campus story nationally and continue to grow in influence, the campus will invite dialogue with other higher education innovators through a June 2018 Higher Education Innovation Summit.

# Graduate Education

Graduate education is at the core of a research university and developing and maintaining excellent programs is therefore a priority for the University. Training and graduating young scholars who are prepared to be leaders is the mark of a great research university—and preparing future leaders is crucial not only for academia, but also for industry, government, and the private sector. In addition, outstanding graduate students facilitate scholarly productivity by our faculty and provide excellent undergraduate education through their teaching and mentoring activities.

To assist colleges in developing and maintaining excellent graduate programs, the Graduate School has identified as its highest priority increasing the diversity of students receiving graduate degrees. Diversity in all forms leads to the evolution of scholarship and knowledge. A diverse student body contributes to a rich graduate education experience—one in which students with vastly different backgrounds and experiences come together to learn, conduct research, and create new knowledge.

## Maintaining Access

The University is committed to maintaining access to its graduate degree programs for members of the military, students of color, first-generation students, and others with diverse backgrounds and experiences.

### Application Fee Waivers

To encourage applications from members of the military, the Graduate Admissions Office offers application fee waivers for active-duty members of the military and veterans. During 2016–2017, 161 applicants benefited from this application fee waiver.

In addition, McNair Scholars—applicants who are either first-generation college students with

financial need, or members of a group traditionally underrepresented in graduate education who have demonstrated strong academic potential—receive application fee waivers. Sixty-three McNair Scholars benefited from this fee waiver during 2016–2017.

## Attracting Students

### Recruiting and Retaining Outstanding Students from Diverse Populations

The number of students who self-identified as students of color (American Indian, Asian, Black, Hawaiian, or Hispanic) has grown from 1,584, or 11.3 percent, in 2012 to 1,823, or 14.3 percent, in 2017. Completion rates by ethnicity are detailed in Table 4-10.

In addition to supporting college-level activities to promote the recruitment and retention of a high-quality, diverse student body, the Graduate School supports a number of systemwide events and initiatives that enhance collegiate diversity efforts:

- The DOVE Fellowship Program assists graduate programs with recruitment and support of academically excellent students with diverse ethnic, racial, economic, and educational backgrounds and experiences. Unfortunately, the number of qualified applicants far exceeds the number of fellowships available: during 2016, 144 students were nominated for 30 fellowship awards.
- In April 2017, more than 120 graduate students, faculty, and staff explored issues of equity and diversity in graduate education at the Graduate and Professional Education Assembly, which focused on creating inclusive scholarly communities and featured keynote speaker Estela Mara Bensimon, professor and director of the Center for Urban Education at the Rossier School of Education, University of Southern California.

**Table 4-10. Six- and eight-year doctoral (Ph.D., Ed.D., D.M.A.) completion rates by ethnicity, University of Minnesota 2003–2011**

	2003–04		2004–05		2005–06		2006–07		2007–08		2008–09		2009–10*	2010–11*
	6-yr	8-yr	6-yr	6-yr										
Am. Indian	14%	57%	33%	42%	33%	56%	30%	50%	75%	88%	20%	40%	42%	0%
Asian	42%	65%	45%	62%	36%	56%	57%	71%	44%	56%	40%	64%	42%	57%
Black	29%	54%	39%	55%	29%	50%	25%	43%	19%	44%	29%	33%	45%	41%
Hawaiian			100%	100%					100%	100%				67%
Hispanic	26%	57%	23%	38%	25%	50%	47%	63%	24%	56%	31%	52%	33%	50%
Minority	34%	60%	39%	54%	32%	54%	44%	60%	36%	56%	34%	53%	41%	48%
White	35%	54%	38%	54%	38%	56%	43%	60%	42%	58%	44%	63%	46%	48%
Not specified	24%	46%	32%	48%	42%	58%	75%	83%	52%	83%	44%	53%	48%	52%
International	55%	70%	51%	67%	53%	72%	56%	68%	56%	69%	57%	74%	54%	56%
All Students	41%	59%	42%	58%	42%	61%	48%	63%	47%	62%	48%	65%	48%	51%

\*8-year completion data not yet available  
Source: Graduate School, University of Minnesota

- Regional McNair Scholars from surrounding institutions are invited to a Graduate School Visitation Program on the Twin Cities campus each summer. These students are either first-generation college students with financial need, or members of a group that is traditionally underrepresented in graduate education and have demonstrated strong academic potential. The day consists of a presentation about the process of applying for admission to graduate programs, meetings with faculty and staff to discuss their research, and a tour of the campus. During 2016–2017, more than 200 students participated.

#### Funding Support

Competitive financial support is critical for the recruitment and retention of high-quality students and

contributes to a great student experience. Programs and colleges are responsible for allocating resources to provide funding offers to attract and matriculate prospective students. Financial support may come in the form of teaching and research assistantships, fellowships, traineeships, or tuition waivers.

The total amount of funding for graduate assistants, fellows, and trainees during fiscal year 2017 was \$180,543,823, a 4.3 percent increase over the previous year and an increase of 12.6 percent over five years (see Table 4-11). Included in this total are several University-wide competitions that reward exceptional students, such as the Thesis Research Travel Grant, Interdisciplinary Doctoral Fellowship, Training Grant Matching Funds, and the Doctoral Dissertation Fellowship (DDF). This type of financial support enables students to focus more time and effort toward

**Table 4-11. Total funding for graduate assistants, fellows, and trainees based on expenditures, fiscal years 2012–2017**

	FY12	FY13	FY14	FY15	FY16	FY17	5-year change
O&M	\$77,661,581	\$77,640,828	\$78,387,582	\$83,807,619	\$85,717,270	\$90,191,713	+16.1%
Sponsored	\$59,606,642	\$57,445,165	\$56,448,220	\$57,063,613	\$60,004,779	\$62,755,976	+5.3%
Other	\$23,099,737	\$26,176,348	\$25,838,896	\$25,554,690	\$27,402,672	\$27,596,134	+19.5%
<b>Total</b>	<b>\$160,367,960</b>	<b>\$161,262,341</b>	<b>\$160,674,699</b>	<b>\$166,425,921</b>	<b>\$173,124,721</b>	<b>\$180,543,823</b>	+12.6%

Source: Graduate School, University of Minnesota

research and also encourages more timely degree completion. For example, the average time-to-degree for students who were awarded the DDF between 2007–2017 was 5.5 years, versus 5.9 years for students who were not awarded the DDF.

Increasing the number of external fellowships awarded to graduate students is a priority. Such fellowships are important: to students for providing them with resources and recognition; to graduate programs for providing a level of budget relief and evidence of quality; and to the University for providing an objective external measure of the quality of graduate students and programs. To help graduate students be competitive in securing external fellowships, the Graduate School offers workshops to help graduate students. In the past year, a record 37 new graduate students were awarded National Science Foundation Fellowships. Two graduate students received CIC/Smithsonian Fellowships and, during 2016–2017, the University was named a “Top Fulbright Producing University” (see Table 4-12).

External fellowships often do not cover the full cost of graduate tuition and health care, causing some students to turn down fellowship offers, preferring to take a less prestigious teaching assistantship that covers full costs. To prevent students from having to make such a choice, the Bridging Funds program was expanded to provide coverage for any funding shortfall associated with competitively awarded external fellowships. During 2016–2017, Bridging Funds were awarded to 132 graduate students.

## Offering a Great Student Experience

As the state’s designated research institution, the University has the responsibility to provide graduate students with a great experience and an extraordinary education so that they can conduct breakthrough research, generate new knowledge, drive growth in the economy, and become the next generation of leaders.

### Graduate and Professional Student Welcome and Orientation

The University organizes annual activities for new graduate and professional students. This includes a new-student orientation session, offered to all graduate

**Table 4-12. Number of External Fellowships and Number Supported by Bridging Funds, 2008–2018**

	NSF Fellows	Fulbright Scholars	External Fellowships Supported by Bridging Funds
2008–09	28	8	N/A
2009–10	33	5	N/A
2010–11	49	9	N/A
2011–12	68	4	N/A
2012–13	86	6	N/A
2013–14	94	3	33
2014–15	106	5	10
2015–16	110	6	17
2016–17	118	4	29
2017–18	120	5	29*

\*As of 11/1/2017

Source: Graduate School, University of Minnesota

and professional students on the Twin Cities and Duluth campuses. Although many programs provide local orientation for their students, the campus-wide event covers navigating the University and such topics as library resources, wellness and self-care, working well with an academic advisor, and creating a multi-year academic and professional strategy.

More than 860 students representing 16 colleges registered for the 2017 event. The Graduate School also hosts a resource fair to introduce new students to a wide range of University resources and services units to help them succeed, including One Stop Student Services, Boynton Health, and the Office of Student Finance. Over 500 students registered for the 2017 fair, which featured nearly 60 exhibitors.

Two one-day intensive writing workshops for new international graduate students were also added this year. More than 100 students gained a better understanding of and practiced the expectations for graduate writing, and learned about writing resources in their fields and on campus.

In response to the increasing demand for a central graduate student orientation, online resources are being expanded and orientation activities focused on the system campuses will be coordinated in 2018 to better serve all new students.

## Advising

The relationship with one's faculty advisor is critically important to the well-being and the success of every graduate student. During 2016–2017, leaders from the Student Conflict Resolution Center (SCRC) developed new materials to support faculty in their role as advisors. SCRC staff met with twelve different groups of departmental faculty and students, the associate deans for research and graduate education, the Faculty Consultative Committee, and the Faculty Affairs Committee to share two resources: “Building Civility” and “Best Advising Practices for Graduate Student Success.”

In addition, SCRC staff worked with over 100 graduate students on matters of academic progress and other concerns. SCRC readministered the survey “Academic Incivility and the Graduate Student Experience” in November 2017.

## Graduate Student Diversity Office

During fall 2016, the Office for Diversity in Graduate Education moved from the Office for Equity and Diversity back to the Graduate School and is now known as the Graduate School Diversity Office. Following an external review and consultations with students and faculty, it was determined that the realignment of the Diversity Office with the Graduate School allows for a more seamless graduate student experience—from recruitment to retention to graduation—for students who are underrepresented in academia.

In 2017, the Graduate School hired an associate dean for graduate education to lead its diversity efforts. The associate dean position is supported in the Graduate School by a dedicated and experienced team, to which a new position, program coordinator of the Community of Scholars Program Writing Initiative, was added in 2017.

## Community of Scholars Program

The Community of Scholars Program (COSP) works toward creating an environment that supports the academic and professional success of graduate students who are underrepresented in academia.

In summer 2017, an internship program was established with Hennepin County to expose COSP

students to work environments in the government sector while gaining research and administrative skills. The three students selected for this initiative worked on specific projects for 40 hours a week, participated in weekly professional development seminars, and conducted a presentation summarizing their work.

The DOVE Summer Institute, a seven-week COSP program that takes place before the academic year begins, helps create a welcoming and inclusive climate for entering graduate students of color and students from underrepresented backgrounds. During the summer, these students work with a faculty mentor to build networks of support across the University, develop a research topic, and attend weekly seminars on communicating with faculty and proposal writing. A Bush Foundation study concluded that institute attendees make progress toward a degree at a rate that puts them essentially a year ahead of their peers. During 2017, a record 34 graduate students took part in the institute, the greatest number since its inception in 1998.

## Support for Graduate Staff and Faculty

In 2017, the Graduate School created an annual report for each college with institution-wide information about the state of graduate education at the University, as well as college and program-specific data on application, admission, matriculation, enrollment, time-to-degree, completion rates, and demographic information.

The University recognizes a need for more comprehensive tracking of student careers and job placement outcomes in order to evaluate how well graduate programs are preparing students for their chosen career paths. To accomplish this, the Graduate School will be participating in the Council of Graduate Schools' “Understanding PhD Career Pathways” project, beginning fall 2017. This multi-year project will involve surveying Ph.D. alumni and current Ph.D. students to allow analysis of career aspirations, preferences, and outcomes at the program level. It will also provide comparable data from the other participating institutions. The goal is to help faculty understand the career paths their students are following so that curriculum, career services, professional development opportunities, and advising

might be strengthened to better meet the needs of students pursuing diverse career paths.

### **Support for Postdoctoral Researchers**

Due to their non-student status, postdocs are not served by collegiate Career Services Offices, and there is significant unmet need for postdoc professional development opportunities. Current support includes making relevant graduate student workshops, trainings, and other opportunities available to postdocs. While some workshops target postdocs, staffing constraints limit the ability to do this on a regular basis. The University is exploring the feasibility of creating an Office of Postdoctoral Affairs to better serve and advocate for postdocs.

## **Preparing Graduates for Success**

Approximately half of today's doctorate recipients find initial employment in non-academic jobs in industry, government, and nonprofit organizations. To succeed in the changing labor market, graduate students must leave the University with the right set of skills and an awareness of the full range of career options available to them, whether inside or outside of the academy.

The University offers opportunities and resources for graduate students to explore, to engage, and to extend themselves beyond their disciplines as they prepare for the future.

### **Academic and Professional Development**

Career development support for graduate students varies widely by college and program. The Graduate School directs some staff time to collaborating with staff and faculty across the system on programming and services in response to those identified needs. Throughout the year, the Graduate School partners with units such as the Center for Educational Innovation, the Minnesota English Language Program, University Libraries, and the Boreas Leadership Program to offer workshops on various academic and professional development topics. The Graduate School's APD Update, a biweekly email with information about academic and professional development opportunities across campus, has been an effective tool for increasing student, staff, and faculty awareness of the opportunities available, and this has led to more efficient use of limited resources.

Students also have access through the University's institutional subscription to premium content on several online career development sites, including the National Center for Faculty Development and Diversity, Versatile PhD, and Imagine PhD. Students use these resources to explore career goals, develop personalized career plans, and access advice and tools to increase their career preparation and success.

In response to student demand, the Graduate School will be working over the next year to increase awareness of professional development webinars, career chats, and other online forums for students seeking to access these resources online rather than in person. The University will also work over the next year to identify the gaps in online resources and develop additional content to meet the specific needs of students.

The University also helps students learn to communicate effectively to differing types of audiences through the Doctoral Research Showcase, which provides a casual and conversational environment for recipients of the Interdisciplinary Doctoral Fellowship and the Doctoral Dissertation Fellowship to present their research to faculty, staff, students, and friends of the University. More than 80 fellows participated in the 2017 showcase, which was attended by over 500 members of the University community. The GRADTalks seminar series—short, engaging presentations of student research to the broader community—has been established on the Duluth campus. Finally, monthly Doctoral Dissertation Seminars provide opportunities for Doctoral Dissertation Fellows to present and discuss their research before their peers.

### **Publicly Engaged Graduate Education**

Community-based experiential opportunities involving graduate students are a key strategy for incorporating public engagement with academics. Programs and initiatives are designed to connect graduate students with social issues to enhance students' academic, professional, personal, social, career, and civic development.

Graduate-level, community-based research and scholarship opportunities such as thesis and capstone projects, internships, and clinical practica are routinely found in many programs. This past year, the

University offered an array of programs to expand graduate students' community-based experiences.

For example, the Resilient Communities Project (RCP) connected communities in Minnesota with the expertise of faculty and graduate students to address pressing local issues in ways that advance sustainability and resilience. During the 2016–2017 academic year, the RCP partnered with the City of Brooklyn Park on 24 projects focused on a range of issues, including diversifying the police department, improving workforce development training, evaluating community engagement initiatives, improving pedestrian safety, and creating a natural resources management plan. Projects were matched with students in 45 courses spanning 21 academic departments and on the Twin Cities and Duluth campuses. During the yearlong partnership, more than 250 students took part in an RCP project through a credit-bearing course or individual project.

The University's Economic Development Fellows Consulting Program connected groups of graduate students with opportunities to develop area businesses. Past participants help manage the projects by building connections with new clients. Sponsored by the Office of University Economic Development with support from the Graduate School, the program continued to provide students with real work experience in diverse business environments, using University resources to make tangible impacts on local economies.

With assistance from the Center for Urban and Regional Affairs' Hennepin University Partnership, students in the Humphrey School of Public Affairs worked with Hennepin County to examine ways to increase the deconstruction rather than demolition of properties. The students conducted quantitative and qualitative analyses of current deconstruction policies and practices, finding that deconstruction is complex but has potential to be economically and environmentally viable for the county.

As a final example, the Minnesota LEND (Leadership Education in Neurodevelopmental and Related Disabilities) program named 27 fellows in 2016–2017 for their outstanding skills and commitment to improving the quality of life for children with neurodevelopmental disabilities and their families. The LEND Fellows include both graduate and

postgraduate students and community members. The Minnesota LEND program is an interdisciplinary leadership training program spanning 16 disciplines across the University.

### **Interdisciplinary Research and Scholarship**

Graduate students are increasingly drawn to large, complex questions that lie at the intersection of traditional disciplines. The University—with its land-grant mission, extraordinary disciplinary breadth, excellent faculty, and state-of-the-art facilities—is well-situated to provide excellent interdisciplinary graduate education for the many students attracted to Minnesota by the opportunities the University offers for solving the world's grand challenges. Within the University, the Graduate School is uniquely positioned to foster, advocate for, and shepherd interdisciplinary innovations that benefit graduate students. The Graduate School, with a perspective that encompasses all research-based graduate education, plays a pivotal role in helping to ensure that strong interdisciplinary programs continue to thrive and that promising new interdisciplinary initiatives are introduced that will strengthen the University's competitive advantage.

The Graduate School sponsored an inaugural Seminar Series on Collaborative Leadership and Grand Challenges Research. Offered every other week during the 2016–2017 academic year, the initial seminars were designed to help graduate students prepare to tackle some of the world's most complex problems. Sessions were free, not for credit, and were discussion-oriented, led by some of the University's top faculty and staff. Learning focused on leadership in collaborative contexts, cultivating innovative thinking, and research design for large and discipline-spanning problems.

The Graduate School continues to offer the Interdisciplinary Doctoral Fellowship (IDF), which provides a unique opportunity for outstanding Ph.D. students who are engaged in interdisciplinary research to study with faculty at one of the University's interdisciplinary research centers or institutes during the fellowship year. The award includes a stipend of \$25,000 for the academic year, tuition for up to 14 graduate credits each semester, and subsidized health insurance. Twenty-one graduate students received the IDF for the 2017–2018 academic year.

# Professional Education

The University of Minnesota offers nearly 100 professional degrees as well as certificates and other experiences at the postbaccalaureate level. These programs often attract students whose primary objective upon completion is to acquire an applied professional or practice-based job outside the typical academic or research environment. These programs are often shaped by ethics or principles established by the respective industry or profession, guided by quality standards enforced by a professional association or accreditation body, or require professional licensure or passage of examination to practice.

Professional programs are offered on the Duluth, Rochester, and Twin Cities campuses in fields including education, design, business, science, engineering, public policy, and many more. Examples of professional degrees are the Master of Education (M.Ed.), Doctor of Education (Ed.D.), Doctor of Audiology (Au.D.), Master of Engineering (M.Eng.), Master of Health Informatics (M.H.I.), Master of Public Policy (M.P.P.), Master of Social Work (M.S.W.), Master of Tribal Administration and Governance (M.T.A.G.), Master of Urban and Regional Planning (M.U.R.P.), Master of Architecture (M.Arch.), Master of Landscape Architecture (M.L.A.), and Master of Accountancy (M.Acc.). In addition, the University of Minnesota Law School offers comprehensive legal education that prepares students to become skilled and ethical professionals. These graduates are leaders and innovators in the legal profession, the business and nonprofit communities, and every branch of government at both the state and national levels.

Health professions education is provided through the School of Dentistry, Medical School, School

of Nursing, College of Pharmacy, School of Public Health, College of Veterinary Medicine, the Center for Allied Health Programs, and associated programs and centers on the Duluth, Rochester, and Twin Cities campuses. In collaboration with affiliated health systems, the University also trains over 1,200 pharmacy, medical, and dental primary care and specialty residents each year.

## Recruiting and Retaining Outstanding Students from Diverse Populations

Recruiting, training, and graduating diverse students who will become teachers, policy makers, counselors, social workers, and other professionals to serve communities is a priority for the University, as well as a point of emphasis for many professional accreditation associations. As such, the University is committed to maintaining access to its professional degree programs for members of the military, students of color, first-generation students, and others with diverse backgrounds and experiences.

For the past two years, the University has piloted a Professional Education Diversity Fellowship, which provides \$300,000 of support that parallels the DOVE (Diversity of Views and Experiences) fellowships for the recruitment of academically excellent graduate students with diverse ethnic, racial, economic, and educational backgrounds and experiences.

Since 2015, the admissions office that serves most professional programs has waived the application fee for all McNair Scholars. These are nationally recognized scholars who are either first-generation college students unable to afford postbaccalaureate

education or underrepresented students with a strong demonstrated academic record. This fee waiver is in addition to that for active military personnel or veterans that has been in place since 2013. Another example is the application fee grants that the Humphrey School of Public Affairs offers to Pickering Fellows, Truman Scholars, and other outstanding applicants with an interest in the fields of public/foreign affairs and public service leadership as well as those with demonstrated financial need.

The Master of Landscape Architecture in the College of Design has had success recruiting and retaining diverse students by leveraging national fellowships, such as the Ager Fellowship and the Clinton N. Hewitt Prize, as well as the department's Research Assistants in Practice program, in which students partner directly with nonprofit organizations, government agencies, or firms.

The Master of Social Work in the College of Education and Human Development has multiple strategies to recruit and attract students from diverse backgrounds, including specific outreach and informational meetings, the University's exchange with historically black colleges, scholarship funds that target specific populations, and leveraging federal Title IV-E funds for training stipends for students to work in the child welfare system. In addition, the School of Social Work partners with the Office on Economic and Community Development to offer significant financial support through the Community Health Initiative sponsored by Medica and matched by School of Social Work scholarships from the Rose Snyder Fund. The school also partners with other agencies and programs that specifically serve diverse populations, such as Kente Circle (a mental health clinic for African American clients), the Indian Child Welfare Act unit at Hennepin County (child welfare services for Native American clients), Wilder's Southeast Asian Program, World Relief (serving refugee and immigrant communities), and the Brian Coyle Center (serving Somali immigrants). These agencies provide training opportunities for students through supervised internships. Effectiveness of these efforts is evident through consistently high numbers of applicants from diverse communities, following through to admission, enrollment, and successful completion of the program. Consistently, about 25 to 30 percent of the M.S.W.

student body identifies as persons of color. Another significant minority, although this is not tracked officially, are students who identify as GLBTQ. The M.S.W. program has a significant diversity in age, with current students ranging in age from 22 to 57.

The Carlson School of Management supports the recruitment and retention of women through a strategic women's initiative that features productive engagement with the Forté Foundation, Women in Business (WIB), and the National Association of Women MBAs (NAWMBA), as well as a slate of activities throughout the year such as an annual Women's Leadership Conference, Women in Finance and Women in Entrepreneurship conferences. The school also has made a concerted effort to raise more fellowship support for women and supports M.B.A. students with a travel stipend program and on-site career services to support student participation in annual affinity conferences such as the National Black MBA Association, National Society of Hispanic MBAs, Asian MBA, and others. Each year the school hosts high-ability prospective M.B.A. students from diverse backgrounds. Veterans initiatives, such as philanthropic support for fellowships, remain strong and have been successful for the M.B.A. program. Camp Emerge is a full-time M.B.A. program launched in 2017 as a residential pipeline-building experience for 30 women and minority undergraduate students, the vast majority of whom were not previously considering careers in business.

The Humphrey School of Public Affairs has student affinity groups that provide professional development, advocacy, and social support opportunities for diverse students, including the Humphrey Students of Color Association and the Humphrey International Student Association (HISA). The Humphrey School is also home to the national office of the Public Policy and International Affairs program (PPIA), an organization that creates programs and strategies to engage and recruit students to the world of public affairs generally, and public affairs graduate programs more specifically. Through PPIA, the school recently hosted its first Public Service Weekend, where 23 undergraduate students from underrepresented backgrounds from around the state spent a weekend at the Humphrey School looking for ways to turn their passion for public service into something more

concrete. The weekend offered an opportunity for students to learn about and engage in pressing public policy issues and challenges, and it gave them a glimpse of what it might be like to attend a graduate program in public policy and to enter a public policy career. Also through PPIA, Humphrey launched its first Junior Summer Institute this past summer, a rigorous seven-week program that prepares undergraduate students to thrive in graduate programs and launch careers in public service. Eighteen students from underrepresented backgrounds and hailing from undergraduate institutions around the country completed the program.

The Humphrey School is actively partnering across the University system, with a focus this year on the Morris campus. Humphrey faculty, staff, and leadership have visited Morris several times this year to develop partnerships for recruiting and retaining students from diverse backgrounds, pipelines for students from undergraduate programs to graduate school, and other initiatives.

#### Health Professions Education

Professional programs within the Academic Health Center (AHC) have made commitments to recruiting and retaining diverse groups of students (Table 4-13). AHC schools work to attract and enroll students from diverse backgrounds by offering scholarships, financial planning, and counseling services to help make education as accessible as possible.

**Table 4-13. Racial and ethnic diversity of students enrolled in health professional programs, all campuses, 2013–2017**

	2013	2014	2015	2016	2017
American Indian	1.4%	1.3%	1.7%	2.4%	1.5%
Asian/Pacific/Hawaiian	8%	8.4%	9.2%	8.9%	10.7%
Black/African American	3.7%	3.9%	4.1%	4.3%	5%
Hispanic	1.7%	2.1%	2.5%	2.5%	2.9%
International	3.1%	2.8%	3.2%	3.3%	2.6%
White	70.8%	71.3%	70%	68.8%	68.9%
Unknown	11.3%	10.2%	9.3%	9.8%	8.4%

Source: Office of Institutional Research, University of Minnesota

To promote diversity within the College of Veterinary Medicine, the Veterinary Leadership through Early Admission for Diversity (VetLEAD) program offers a provisional early admission decision to high-ability students at partner institutions, waives the Graduate Record Examination (GRE) requirement for admission, and provides access to scholarship funds as well as opportunities for mentorship with veterinary faculty and advanced students.

The School of Nursing was one of twelve schools in 2016 to receive the Higher Education Excellence in Diversity Award, a national recognition for demonstrating an outstanding commitment to diversity and inclusion.

The School of Public Health recruitment and inclusivity strategy for underrepresented and international students includes dedicated staff support, participation in national college fairs located in regions with a high level of diverse student populations, partnership with campus offices that primarily support underrepresented students, and dedicated web-based and print marketing material. In addition, the school has implemented an International Student Round-Table series to better support the needs of international students.

In the Medical School, efforts continue to increase the diversity of incoming students with two pipeline programs. Minnesota Future Doctors provides critical coaching and support to its scholars as they develop competitive portfolios for their applications to medical school. Scholars meeting program expectations receive MCAT preparation courses and materials, American Medical College Application System application support, research opportunities, physician shadowing, connections to health-related experiences, and individualized advising to assist with successful admission into medical school. A new B.A./M.D. pipeline program is a partnership with the University's Office of Undergraduate Admissions and the College of Liberal Arts. Up to ten students from broadly diverse backgrounds participate as a cohort through a seven-year early-assurance program that leads to matriculation into the University's Medical School after the third year.

### Legal Professions Education

The Law School continues to recruit a highly qualified, talented, and diverse student body. The most recent entering class of J.D. candidates had a median LSAT at the 87th percentile nationally and a median undergraduate GPA of 3.75. Approximately 15 percent of the students are of color, and nine percent are from other countries. For the first time in its history, the Law School's entering class was majority female. Students come from throughout Minnesota, from 29 other states, and from around the world. Many students recruited from outside the state remain in Minnesota and become leaders in law firms and businesses, as well as in state and municipal governments and community organizations. In addition, the Law School has an LL.M. class consisting of 50 talented lawyers from across the globe who have come to Minnesota for a one-year master's program designed to introduce them to the U.S. legal system. Highly successful members of the LL.M class are able to transfer into the J.D. program

The Law School has pursued multiple strategies to enhance recruitment. Students are more inclined to apply to highly ranked schools, and the Law School has maintained a top-25 *U.S. News and World Report* ranking. Admissions staff and faculty members are extensively involved in recruitment through attendance at information sessions and law fairs around the country, informal meetings with visiting applicants, and phone calls to admitted students. In addition, the Law School has expanded its efforts to recruit promising students through a combination of scholarships, fee waivers, admissions outreach, and the development of web and print promotional materials.

The Law School has also taken steps to improve diversity and inclusion. It participates in pipeline initiatives to expose promising potential students from diverse communities to legal education, including the annual JTB-APO Summer Legal Institute for high school students and the Minnesota Pre-Law Scholars Program for undergraduates, the latter of which is a comprehensive summer-long law school and LSAT preparation course targeted to underrepresented Minnesota residents. The Admissions Office and Faculty Diversity Committee are also experimenting with outreach programs to connect prospective

applicants with current law students and members of the local bar. Once students enroll, they have access to a range of courses taught from diverse perspectives, as well as extensive academic and bar preparation support. The Diversity Committee has driven efforts to expand programming support for affinity student organizations, with dedicated staff advising and funding to supplement student-driven practitioner panels, social events, and service projects. Starting in January 2016, the Law School launched an annual MLK Convocation program, featuring distinguished panelists (such as Associate Justice Emeritus Alan Page '78) addressing areas of legal inequity.

In recent years, applications to the Law School have followed nationwide trends and have declined substantially from their peak, although there are indicators (such as an increase in LSAT takers and number of students attending local, regional, and national events) for an increase in applications for fall 2018. Despite receiving fewer applications, the Law School has continued to recruit highly qualified and diverse classes. For fall 2017, the incoming class size by increased by 20 students over 2016 and had highly competitive LSAT and GPA scores. Growing the applicant pool is a priority, and the Law School is implementing several strategies to do so, such as partnering with an enrollment management consulting group, enhancing pipeline programming, partnering with alumni and bar associations, and increasing the number of prospective student information sessions held on campus. In addition to efforts to increase the J.D. class size, the Law School has also in recent years created and expanded other degree programs and reduced expenses.

The Law School has sharply increased scholarship support for its students. In keeping with trends among highly-ranked national law schools, more than 90 percent of the most recent entering J.D. class received grant aid. The percentage of students graduating with no Law School debt has been increasing since 2011–2012, to 28 percent in the most recent reporting period; in the same period the average amount of Law School debt for the remaining students has decreased to \$92,190 (which is much lower than the national average). The Law School continues to make fundraising for student scholarships one of its highest priorities.

## Providing Quality and Value in Professional Education

As the state's flagship higher education institution, the University has the obligation to produce well-trained professionals that meet the workforce demands of local communities and beyond. Professional education at the University is responsive to the changing labor market landscape, as demonstrated by the following examples.

- The College of Design's School of Architecture was ranked second by *DesignIntelligence* magazine as the most admired graduate architecture program by deans and chairs. The Interior Design program was selected by hiring professionals as one that best prepares students for a future in their professions.
- Professional education programs in the Carlson School of Management are designed with a high level of public engagement embedded in the curriculum. Components like the M.B.A. Enterprise Programs (Brand, Funds, Consulting, and Ventures) and the M.S. LAB programs create unique and dynamic opportunities for students to engage in real-world challenges posed by clients. The M.B.A. and M.S. programs engaged in over 100 projects last year that included all full-time students and many working professional students who opt into electives. These courses are seen by many in the industry as best-in-class and difficult to replicate.
- Over the past several years, the Carlson School has transformed its delivery of curriculum to students. The part-time M.B.A. program's online and compressed-format courses have risen from five percent enrolled in 2012 to over 40 percent in 2017. As working professionals needed different pathways to successfully complete their degree requirements, the school has responded with enhanced choices while retaining high-quality delivery.
- The Master of Business Accountancy Program has initiated a winter tax and public accounting internship option into its curriculum to provide students without prior experience in these fields a "laboratory" in which to apply their newly learned skills. These are ten-week, full-time paid

internships. Consequently, students can effectively fund 75 percent of the tuition cost of the degree with the ten-week winter internship.

- The Master of Human Rights program is an interdisciplinary collaboration between the College of Liberal Arts and the Humphrey School of Public Affairs that prepares students for positions addressing global human rights challenges through research, policy analysis, and advocacy.
- The Master of Tribal Administration and Governance degree on the Duluth campus, developed after two years of consultation with Indian tribes, meets the need for applied training to become tribal employees and executives, using best practices for running a tribal government. Graduates have an understanding of relevant federal laws, federal accounting requirements, and federal-tribal-state relations, as well as training in leadership, ethics, and tribal management skills.
- The College of Continuing and Professional Studies redesigned its postbaccalaureate Addiction Studies certificate program to be a Master of Professional Studies in Addictions Counseling degree that meets the Minnesota state requirements for the Alcohol and Drug Counselor licensure.

Similarly, the following examples demonstrate that health professional schools are developing new degree programs, implementing curricular innovations, and establishing new clinical practice models and programs in response to the emergence of new professions as healthcare transformation continues.

- In 2017, the University received funding for a new Health Sciences Education Center, which will replace 100,000 square feet of outdated facilities with the modern learning and training spaces needed to prepare students to meet the future health needs of Minnesota and beyond. This will include state-of-the-art simulation areas to complement existing facilities; active learning classrooms; and a technology-rich library with virtual reality simulators and data visualization spaces to engage in experiential learning. Construction on the building will begin in spring 2018, with occupancy expected in 2019.
- The program in occupational therapy has consistently reported pass rates of 98 to 100

percent for graduates taking the profession's national certification exam.

- The Medical Lab Science Program had a 100 percent first-time national certification exam pass rate and 100 percent employment in the field by six months after graduation in 2016.
- To expand the reach of health educational programs and offer flexibility for students, some health schools offer the ability for students to take their coursework online. For example, the program in occupational therapy, available to students on the Twin Cities and Rochester campuses, has the most online offerings of any hybrid-delivered occupational therapy program in the nation. Other institutions have leased the University's occupational therapy online courses for use within their curricula.
- The Medical School offers students the opportunity to participate in longitudinal experiences within one community or clinical site rather than switching locations every few weeks. This allows the student to engage more fully with teams of professionals in those locations. The focus of these clinical training experiences varies depending on the site but includes rural medicine, urban underserved, interprofessional team work, and quality improvement.
- The Academic Health Center has service-learning opportunities for students to learn clinical skills under the guidance of practicing health professionals while supporting the needs of underserved communities. The College of Veterinary Medicine operates the Veterinary Treatment Outreach for Urban Community Health, which provides basic medical care to the pets of underserved residents of the Twin Cities; and the Student Initiative for Reservation Veterinary Services, which provides free care on Native American reservations. The Phillips Neighborhood Clinic is a free, student-run clinic where each year 400 students from dental, healthcare administration, law, medical lab science, medicine, nursing, nutrition, pharmacy, physical therapy, and social work provide free health services to underserved patients in the Twin Cities.
- Students in health programs have opportunities to practice their skills to be ready for experiential

settings. Most students work in state-of-the-art simulation centers, learning clinical and interprofessional teamwork skills needed for future practice in collaborative environments, including:

- AHC Simulation Center and Interprofessional Education Resource Center (IERC) are used by learners of all levels across the health professions to practice key technical, clinical, and team skills with the help of standardized patients, high-fidelity mannequins, and human patient simulators. These centers will move to the new Health Sciences Education Center when it opens in 2019.
- Bentson Healthy Communities Innovation Center in the School of Nursing includes simulated environments that span the patient care continuum from hospital to outpatient to community-based care.
- SimPortal in the Medical School is equipped with the technology and tools needed to train medical trainees in cutting-edge care.
- Dental simulation in the School of Dentistry allows students to practice the highly technical skills needed for future practice.
- Veterinary students practice client communication at the IERC and learn with veterinary models in the CVM Zone, a pilot facility to support clinical skills development.
- The School of Public Health has a fundamental emphasis on health equity, the concept that health is a human right. The core curriculum for the master's of public health degree includes an emphasis on health equity and inclusion, with course evaluations specifically asking how health equity was addressed. The school has adopted a policy to focus on diversity as part of faculty competency, which includes pedagogical training and support through a partnership with the Center for Educational Innovation; and the school's Equity, Diversity and Inclusion Team has been asked to present on campus as a model for others to emulate. The staff of the Career and Professional Development Center has been recognized by the Career Diversity Network for efforts to promote equity and inclusion in all aspects of their work.

The Law School offers one of the most rigorous and comprehensive legal education programs in the country. Almost all J.D. candidates graduate in three years, except for those earning joint degrees in other University programs. The Law School is at the forefront of a small group of schools leading the transformation of legal education nationally and internationally. Recent changes to the curriculum are designed to integrate doctrine, theory, professional values, and lawyering skills to ensure that students graduate with the tools necessary to be effective advocates and counselors in both private practice and public service. Recently launched initiatives include:

- A new required Legislation/Regulation course introduces students to the tools of statutory interpretation, the operation of administrative agencies, and judicial review of agency decision-making.
- Early implementation of the American Bar Association's experiential learning requirement a year ahead of most law schools, including a required first-year experiential course, more than a dozen simulation-based courses that enroll hundreds of students in small sections that facilitate intensive training and feedback, and one of the largest live client clinics in the United States that offers more than 200 seats and opportunities for students to represent clients in approximately 400 matters each year.
- Two new concentrations (Immigration Law and Family Law), bringing the total number to eleven.
- The new Minnesota Law Public Interest Residency Program expands career opportunities by connecting leading public interest and government organizations with law students interested in public service. Students receive real-world experience as externs while earning credit and are guaranteed a full-time legal position with their host organization the year following graduation.
- New courses designed to ensure that the curriculum adapts to the changing legal landscape, including: Data Compliance Practicum, Intellectual Property and Entrepreneurship Clinic, and Military Law and Advocacy.

The University's professional education programs have strong reputations nationally and around the

world, which allows graduates of these programs to engage in their chosen professions with a high level of credibility and public confidence. For example, the Humphrey School is ranked eighth among the country's 270 public affairs schools, according to national rankings released by *U.S. News & World Report* in March 2016. Humphrey's ranking is a significant rise from 16th when the survey was last conducted four years prior, and the school's nonprofit management program is rated second, up from third in the previous survey. The health professional schools have national prominence through a variety of rankings. For example, the Medical School is ranked 34th in National Institutes of Health funding (2016, Blue Ridge Institute for Medical Research) (**Progress Card Measure**). *U.S. News and World Report* also ranks a number of health professions programs highly:

- The School of Nursing is ranked twelfth among nursing graduate schools and second in nursing informatics education.
- The College of Veterinary Medicine is ranked eighth.
- The College of Pharmacy is ranked second among all pharmacy schools in the nation.
- The latest rankings of medical school graduate programs put the University third in rural care, seventh in primary care, and 44th in research. The University's medical school produces more family physicians than any other school in the country.
- The physical therapy program ranked 20th of 233 health graduate programs nationally.

## Preparing Graduates to Succeed and Serve the State

The University strives to prepare its professional education graduates to serve their professions and the public. In fact, the University is the state's primary source for many professional industries. For example, the University granted 1,214 health professional degrees (including undergraduate degrees), 269 legal-related degrees, 589 Master of Education degrees, and 493 M.B.A. degrees in 2016 (Table 4-14). The University seeks to ensure that these students obtain the experiences they need and graduate in a timely fashion. For example, graduation rates in the health professional programs are very high, with the five-year

**Table 4-14. Fall 2017 enrollment and degrees awarded in select in-demand professional programs, 2016–2017**

Program	Campus	Enrollment	Degrees Awarded
Dental Surgery (D.D.S.)	Twin Cities	459	107
Medicine (M.D.)	Duluth, Twin Cities	950	220
Physical Therapy (D.P.T.)	Twin Cities	151	47
Master of Nursing (M.N.)	Twin Cities	125	63
Doctor of Nursing Practice (D.N.P.)	Twin Cities	346	121
Pharmacy (Pharm.D.)	Duluth, Twin Cities	671	160
Public Health (M.P.H.)	Twin Cities	516	268
Healthcare Administration (M.H.A.)	Twin Cities	122	76
Occupational Therapy (M.O.T.)	Rochester, Twin Cities	95	54
Veterinary Medicine (D.V.M.)	Twin Cities	406	98
Law and Business Law (L.L.M.)	Twin Cities	52	61
Doctor of Law (J.D.)	Twin Cities	561	208
Master of Architecture (M.Arch.)	Twin Cities	87	34
Master of Education (M.Ed.)	Duluth, Twin Cities	982	589
Master of Social Work (M.S.W.)	Duluth, Twin Cities	324	162
Master of Business Administration (M.B.A.)	Duluth, Twin Cities	1163	493
Master of Science in Business Analytics	Duluth, Twin Cities	128	80
Master of Arts in Human Resources and Industrial Relations	Twin Cities	161	61
Master of Public Policy (M.P.P.)	Twin Cities	152	83
Master of Urban/Regional Planning (M.U.R.P.)	Twin Cities	76	35
Master of Public Affairs (M.P.A.)	Twin Cities	89	34

Source: Office of Institutional Research, University of Minnesota

graduation rates for 2012 matriculating classes across most of the health programs exceeding 90 percent (Figure 4-X).

The following highlights how selected professional programs prepare graduates to succeed while serving their respective professions and communities.

#### College of Design

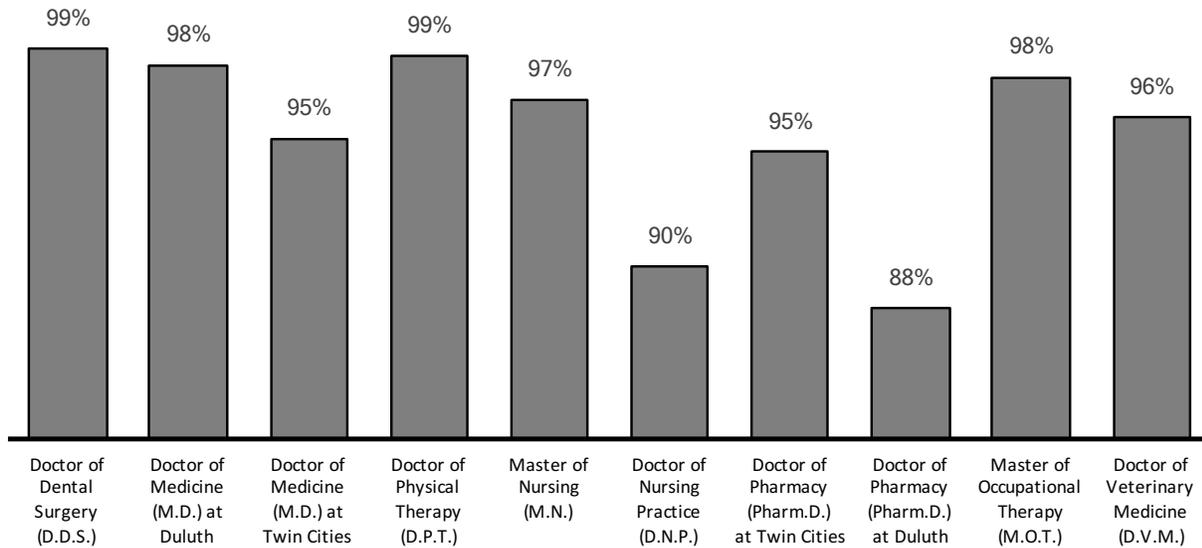
Students in the Master of Landscape Architecture program serve as Research Assistants in Practice working directly with nonprofit organizations, government agencies, or firms, which sets the RAs in Practice apart from conventional research

assistantships. Although the details of each assistantship differ in the type of work depending upon the agency, RAs in Practice can expect to conduct research on administrative frameworks, emerging policy, societal needs, and process trends; participate in interdisciplinary professional collaborations on multifunctional landscape efforts; and perform basic day-to-day project work in the support of the firm/agency.

#### College of Education and Human Development

The College of Education and Human Development (CEHD) engages with school partners to re-envision teacher education, with a focus on putting P–12

**Figure 4-X. Five-year graduation rates of health education programs, students matriculating in 2012**



Source: Office of Institutional Research, University of Minnesota

students first. For example, in 2015 CEHD created a Multiple Pathways to Teaching initiative. This innovative unit houses staff committed to diversifying the teaching profession by creating new pathways to becoming a teacher, including a grow-your-own partnership called the Minneapolis Residency Program, a partnership with the Minneapolis Public Schools and the Minneapolis Federation of Teachers and Education Service Professionals.

The Minneapolis Residency Program is grounded in the idea that one of the most effective ways to prepare new teachers is to recruit them from the communities in which they reside, prepare them in partnership with districts, and ensure that they secure jobs in the district after being recommended for licensure. This recruitment strategy offers a pathway for non-licensed district staff who are committed to education and equity, and identifies candidates who possess numerous strengths including racial and linguistic diversity. Teacher candidates are full-time staff in the district and full-time graduate students who co-teach alongside a classroom teacher of record four days a week for the full academic year. Coursework is taken over two summers and one day per week during the academic year. The program is currently preparing the third cohort of teacher candidates and is exploring the possibility of expanding the partnership to include more district partners and more licensure areas.

The School of Social Work learns more about service needs in the metro area and in Greater Minnesota

through a monthly seminar titled “Conversations with the Community.” Agency staff talk with students and faculty members about all aspects of the services offered in their agencies: the community in which they’re located; the major issues that are encountered; the training that their staff requires; how the agency is funded; how to refer clients to their services; ways that the agency works collaboratively with other public and voluntary sector agencies; and employment opportunities for Master of Social Work (M.S.W.) social workers.

All M.S.W. students complete supervised training internships at various social service agencies under the direction of licensed M.S.W. social workers, supported by three major training programs: a Title IV-E Child Welfare Training grant, the Kaplan Training Fellowship for social work practice in traumatic brain injury, and an in-school Integrated Behavioral Health training fellowship. In these internships, students are assessed on their capacity to meet core social work practice competencies. Additionally, the School of Social Work offers a social work license review to help students understand the requirements for moving from student status to licensed social worker, thus helping to fill critical social work positions in the state.

The M.S.W. program also responds to workforce and community needs by recognizing the growing demand for social workers in health care, as well as the reality of an aging population. For example, the M.S.W. program has recently created a new

specialization in Health, Disability and Aging and has partnered with the Academic Health Center to give M.S.W. students the opportunity to participate in a twelve-hour course segment on Fundamentals of Interprofessional Collaboration and Communication. This provides M.S.W. students with skills to work with interprofessional healthcare teams, with other opportunities available for professionals in publicly mandated services, particularly child welfare.

### **Carlson School of Management**

The Carlson School continues to prepare graduates to succeed while building enduring relations with businesses both large and small within the state of Minnesota. Carlson students tackle the state's grand challenges in areas such as food, health, education, and safety by combining the expertise of the Carlson School with that of the community. For example, the Minnesota Cup represents the largest statewide start-up competition in the country, resulting in awards of more than \$2 million in seed funding and helping more than 13,000 Minnesota entrepreneurs in its decade-long existence.

The Master of Human Resources and Industrial Relations program features the Carlson International HR Case Competition, where student teams from around the world present solutions to a live business case in the area of international human resource management. The competition gives the students the opportunity to be exposed to some of the top Fortune 500 companies and meet student peers from schools around the world.

Other programs also conduct "live case" competitions that enrich the class experience and engage companies like Carlson Wagonlit, PwC, McKinsey, and Carlisle Industries. In the last year, students in the Master of Science in Business Analytics program completed 16 sophisticated analytics projects and M.B.A. Enterprises completed more than 50 projects. New programs have extended offerings into new disciplinary areas and provided connections with new corporate sponsors. The first cohorts of the Master of Finance (M.S.F.), Master of Supply Chain (M.S.S.C.), and Industry M.B.A. programs graduated in May 2017. The M.S.F. launched its project portfolio and M.S.S.C. students completed four projects. All told, more than 75 graduate projects were completed.

As one of the top graduate tax programs in the nation, the Carlson School Master of Business Taxation Program (M.B.T.) brings together world-class faculty boasting a wealth of industry experience and a thriving local business community to create a career-shaping experience for students. Evening and online courses offer the flexibility to suit students' schedules. Twenty-four of the top 25 CPA firms in the Twin Cities have M.B.T. graduates and students in the tax department and 22 of the top 25 public companies in the Twin Cities employ M.B.T. graduates and students in their corporate tax departments.

Other Carlson students see equal success upon graduation. Professionals in the Graduate Career Center work hard across all programs to match students and recruiters. For example, the full-time M.B.A. achieved 96 percent placement at 90 days with an all-time high starting average salary of \$108,000. The full-time Master of Science in Business Analytics (M.S.B.A.) is at 98 percent placement with an average salary of \$85,000.

### **Humphrey School of Public Affairs**

Each year, Humphrey School students engage in semester-long capstone projects with approximately two dozen client organizations. In addition to providing valuable expertise and collaboration to public and nonprofit organizations, these capstones provide important practice-based experiences that ensure that students are prepared for their future careers. Humphrey also engages distinguished adjunct faculty who bring essential insights from practice, support students in building networks, and contextualize theoretical knowledge offered in other courses. An annual course offering, Developing Your Public Service Career, also builds students' capacity to move from the classroom to careers.

Humphrey maintains these relationships with the community of practice and identifies ongoing workforce needs in a number of ways. For example:

- The annual Government and Nonprofit Career Fair is notable in that it engages potential employers who can share their needs and interests with students, thereby highlighting new opportunities for work in public affairs, planning, environmental policy, and more.

- The Future Services Institute supports the Equity Works Leadership Institute and Certificate in Human Services Leadership, which build the capacity of the existing workforce.
- The Public and Nonprofit Leadership Center has a new partnership with the Bush Foundation and the Cultural Wellness Center that has established the Change Network Minnesota leadership program to build leadership skills among a diverse cohort of emerging leaders grounded in cultural context.
- The Master of Urban and Regional Planning program maintains a strong relationship with the American Planning Association (APA) Minnesota chapter, the primary association representing practicing planners. Humphrey was awarded a national award in 2017 for engagement with the state chapter, with activities that include a mentor program, professional panels, student service on the APA Minnesota Board, and student engagement in the state conference.
- As a mid-career program, the Master of Public Affairs program meets workforce needs, supporting career advancement and movement into new opportunities to fill gaps across a wide range of public affairs issues and public/private/nonprofit organizations.

### Health Professions Education

The health professional programs prepare graduates to serve the needs of the state including health access in rural communities, American Indian health, obesity, and opioid overuse. For example, the Academic Health Center provides financial assistance to students doing rotations in rural communities. This exposes students to the unique features of caring for rural communities, while helping these communities recruit future healthcare employees.

To address a shortage of food animal veterinarians, the Veterinary Food Animal Scholar Track (VetFAST) program accepts freshman and sophomore students enrolled in the Animal Science program from the College of Food, Agricultural and Natural Resource Sciences on the Twin Cities campus; Biology students from the Morris campus; and Animal Science students from the Crookston campus. Accepted students have a reserved seat in the class once program requirements are successfully completed.

The field of occupational therapy is projected to grow 27 percent from 2014 to 2024, much faster than the average for all occupations. Occupational therapy will continue to be an important part of treatment for people with various illnesses and disabilities, such as Alzheimer’s disease, cerebral palsy, autism, or the loss of a limb. The University’s program in Occupational Therapy is helping to address this growth with an innovative hybrid-online program that expands its educational programming to a broader community of students.

As the only dental school in the northern tier of states between Wisconsin and the Pacific Northwest, the School of Dentistry is a regional resource for five states and educates 73 percent of Minnesota’s dentists. Furthermore, it started the first dental therapy program in the nation in 2009 and currently educates 68 percent of licensed dental therapists in Minnesota.

The School of Nursing is piloting a program to establish academic-practice partnerships in urban and rural underserved areas. In this innovative program, nurse practitioner students and faculty work with an interprofessional team in three mental health clinics to provide integrated, team-based care to persons who live with mental illness and complex medical conditions.

Through the IHealth initiative, students receive education and experience within their fields while also being prepared to serve in a healthcare environment being reorganized into collaborative teams. The IHealth initiative is integrating interprofessional education across University health professions schools and programs to meet the challenges of what is called the “quadruple aim”: improving the patient experience of care, improving the health of populations, reducing the per capita cost of care, and improving the well-being of the providers of care.

### Legal Professions Education

Law faculty and students are involved in numerous projects designed to serve the public. In many cases faculty and students work side by side, blending the Law School’s education and outreach missions. Hundreds of law students receive academic credit for serving the public while developing professional skills. Examples include 24 legal clinics that allow students to work directly with members of the local

community, a judicial externship program that places students in the chambers of state and federal judges, and a field placement program that enables students to work with government offices and legal service providers.

The Robina Institute of Criminal Law and Criminal Justice is working with state and local governments on multiple aspects of criminal justice policy. The Institute is working directly with Massachusetts, New York City, two counties in Texas, and several urban and rural counties in Minnesota to study and improve the probation system; with the Pennsylvania Board of Probation and Parole to study and improve parole practices; and with Massachusetts and Nevada on sentencing guidelines systems. The institute's executive director recently served on the Minnesota Senate's Prison Population Control Task Force and is currently serving on a committee formed by the state legislature to consider whether Minnesota should enact an earned compliance program for probation.

The Institute on Metropolitan Opportunity investigates how laws, policies, and practices affect development patterns in U.S. metropolitan regions and provides resources that policymakers, planning officials, and community organizations need to address reform in taxation, land use, housing, metropolitan governance, and education. The institute's work has received extensive national media coverage, including by *The New York Times*, *National Public Radio*, *The Guardian*, *The PBS Newshour*, *The Washington Post*, *The Wall Street Journal*, *USA Today*, *U.S. News and World Report*, *Business Week*, *The National Journal*, *Crain's Chicago Business*, and dozens of local papers and radio stations throughout the country.

The Corporate Institute, which brings students and mentoring attorneys together to help women- and minority-owned businesses start up or grow, logs more than 8,000 service hours each academic year.

The James H. Binger Center for New Americans continues to engage law students and volunteer attorneys in high-impact public service, winning changes in U.S. immigration laws that have benefited thousands of people. In the last year, center faculty have supervised over 50 students in prominent cases that have expanded protection for refugees and freed

asylum seekers from unconstitutional detention. Last December, *The New Yorker* featured the center's successful litigation that brought national attention to the government's controversial policy of detaining traumatized refugees.

The Law School Public Service Program encourages students to provide free legal assistance to the local community. Last year, students devoted more than 12,000 hours of their time to numerous organizations, including the Minnesota Assistance Council for Veterans, Legal Services of Northwest Minnesota, and the Minnesota Disability Law Center.

Dozens of faculty members are involved in helping to shape state, federal, and international law through their scholarship, testimony, commentary, public service, membership on boards, and advising work with governmental and private organizations. For example:

- Prof. Robert Stein is one of Minnesota's commissioners on the Uniform Law Commission;
- Prof. Kevin Reitz is the American Law Institute's reporter for revisions to the Model Penal Code;
- Prof. Susan Wolf is a principle investigator for an NIH-funded program to establish a legal framework for regulating the human genome;
- Prof. William McGeeveran testified before the Minnesota Senate Judiciary Committee on the PRINCE Act;
- Prof. June Carbone is involved in efforts to transform domestic and international practices regarding surrogate motherhood, including through testimony before the Minnesota Surrogacy Commission and participation in a project at the University of Hong Kong that is creating a foundation for a UK Law Reform Commission;
- Prof. Richard Painter—who was President George W. Bush's chief ethics lawyer in the White House—has been frequently featured in the national media as an expert on campaign finance reform, banking regulation, and the 2016 presidential election; and
- Prof. Francis Shen is leading a new collaboration involving six University researchers and multiple community organizations to develop a Minnesota Model for addressing youth sports concussions.



# Research and Discovery

Conducting breakthrough research that moves us forward. Our researchers improve our understanding of the world and how we work and live.

## Introduction

As described earlier in this report, the University’s research mission is to generate and preserve knowledge, understanding, and creativity by conducting high-quality research, scholarship, and artistic activity that benefit students, scholars, and communities across the state, the nation, and the world.

With this mission as a guide, the University in 2013 created a five-year research strategic plan, with partners across the University system. In alignment with the Twin Cities strategic plan and other campus plans, the research plan builds upon the University’s many strengths and creates opportunities to bring researchers together through collective inspiration and discovery. The following sections are the primary areas of focus for that vision.

## Enhancing Research Excellence

The University seeks to enhance research excellence by investing in research infrastructure and faculty and educating students for the challenges and opportunities of tomorrow. As the state’s major research university, the University plays an integral role in Minnesota’s academic research and knowledge creation. As Table 5-1 shows, the University ranks eighth among public universities in research spending, with more than \$910 million in research expenditures (**Progress Card Measures**), and because of survey reporting requirements, that figure represents research expenditures for the Twin Cities campus only. If all University campuses were reported together, the total would grow to \$940 million. University of Minnesota research contributes to an estimated \$8.6 billion annual economic impact for Minnesota.

A 2015 report, “America’s Knowledge Economy: A State-by-State Review,” highlighted public research universities as crucial contributors to the knowledge economy, providing advances in knowledge and technology that drive innovation, attract jobs, and foster economic growth.

According to the report, the impact of academic research in Minnesota, home to the University and the Mayo Clinic, exceeds the national average for nearly all fields of study. Minnesota ranks third in the nation

for the number of publications produced per \$1 million spent on research and has the highest number of publications per capita in the Midwest. The University also tracks the influence of these publications, including how often they are cited by other scholars in their own research (**Progress Card Measure**).

The report also highlighted medicine as the field Minnesota research has the most impact on, noting that almost 27 percent of the state’s research pertains to the medical sector—the highest of any state—and its medical research is cited 32 percent more than the national average.

The University’s Academic Health Center (AHC) faculty typically expends more than \$400 million in research grants each year, accounting for close to half of the University’s research portfolio shown in Table 5-1. The National Institutes of Health is the single largest sponsor of research at the AHC and the larger University, funding important projects across the entire continuum of biomedical and healthcare research in cancer, cardiovascular disease, neuroscience, infectious disease, diabetes, addiction, obesity, lung disease, child health, and fundamental studies in genetics, biochemistry, and cell biology.

### Institutional Support for Research

Over the past five years, several research advancement funding programs under the Office of the Vice President for Research (OVPR) have provided more than \$25.1 million (\$34.3 million with matching funds) to researchers.

#### *Research Infrastructure Investment Program*

The Research Infrastructure Investment Program is one way the University ensures it maintains robust, state-of-the-art equipment to support research and academic endeavors, even as federal funding for research stagnates nationwide. These improvements to research infrastructure are key to catalyzing research and innovation, and support the University’s talented researchers as they explore new ideas, form interdisciplinary partnerships, and make groundbreaking discoveries. In 2017, \$1.3 million was matched one-to-one by funds from supporting colleges or centers, yielding over \$2.6 million in total awards. The 13 projects that received funding this year will impact researchers from 25 departments,

**Table 5-1. Top 15 institutions reporting largest research and development expenditures, fiscal years 2015 and 2016**

		2015		2016		Percent Change 2015 to 2016
		Total*	Public Rank	Total*	Public Rank	
1	Johns Hopkins U.	\$2,306 million		\$2,431 million		5%
2	U. of Michigan–Ann Arbor	\$1,369 million	1	\$1,436 million	1	5%
3	U. Pennsylvania	\$864 million		\$1,296 million		33%
4	U. of California–San Francisco	\$1,127 million	3	\$1,294 million	2	13%
5	U. of Washington–Seattle	\$1,181 million	2	\$1,278 million	3	8%
6	U. of Wisconsin–Madison	\$1,069 million	5	\$1,158 million	4	8%
7	U. of California–San Diego	\$1,101 million	4	\$1,087 million	5	-1%
8	Harvard U.	\$1,014 million		\$1,077 million		6%
9	Stanford U.	\$1,023 million		\$1,066 million		4%
10	Duke U.	\$1,037 million		\$1,056 million		2%
11	U. of North Carolina–Chapel Hill	\$967 million	7	\$1,045 million	6	8%
12	U. of California–Los Angeles	\$1,021 million	6	\$1,038 million	7	2%
13	Cornell U.	\$954 million		\$974 million		2%
14	Massachusetts Inst. of Technology	\$931 million		\$946 million		2%
15	<b>U. of Minnesota–Twin Cities</b>	<b>\$881 million</b>	<b>8</b>	<b>\$910 million</b>	<b>8</b>	<b>3%</b>

Source: National Science Foundation, National Center for Science and Engineering Statistics, Higher Education Research and Development Survey

units, and centers, representing eight colleges, and the Crookston campus. Supported projects include updated facilities for the Zebrafish Core Facility within the Medical School's Department of Neuroscience and establishment of the Crookston Center for Collaborative Research.

#### *Grant-in-Aid*

The Grant-in-Aid of Research, Artistry, and Scholarship Program provides grants to support scholarly and artistic activities of faculty and their graduate students to foster excellence throughout the University. Grant-in-Aid (GIA) projects represent the breadth and depth of University research in all disciplines and fields. While any faculty can apply for GIA funding, it plays an especially important role by providing new professors and emerging researchers

with opportunities to pursue research and scholarship that may not yet have received external funding. In the past five years, \$14 million has been awarded through the GIA program. For every dollar invested, \$7.10 in external funding was generated in fiscal years 2011–2015.

#### *Grant Match*

Some external funders require an institution to match funds to a specific grant activity. As grant processes become more competitive and federal funds stay relatively flat, the demand for such institutional matching funds continues to increase, resulting in higher levels of required institutional investment. The University works in partnership with colleges throughout the grant proposal process to coordinate the University's total commitment in matching funds, which averages about \$2 million annually.

### *Minnesota Futures*

The Minnesota Futures program supports extraordinary research by nurturing interdisciplinary ideas. There were three two-year grants this year totaling \$500,000 a year. They are supported by technology commercialization revenue and they fund research opportunities that cross disciplinary and professional boundaries and support in-depth research that aims to address society's grand challenges. Since 2008, Minnesota Futures grants have supported research by faculty who go on to win substantial grants and whose innovations reach the market to potentially improve the lives of millions. For every dollar invested, \$7.60 in external funding was generated in fiscal years 2010–2014.

The 2017 Minnesota Futures grants went to three projects: The University Sexual Violence Prevention (U-SIREN) Collaboratory to study under-examined aspects of sexual violence prevention; the Art and Science of Nesting Bees, which will create wild-bee nesting structures that are attractive as art and analyze bee nesting materials; and Customized Radio-Frequency Identification (RFID) Nanowire Tags for Exosome Enrichment in Blood Biopsies to discover biomarkers that may be important to understanding cancer.

### *Research Opportunities for Students*

An important part of the educational experience at the University is the opportunity for students at all levels on all five campuses to engage with outstanding research faculty, not just in the classroom, but also in new research and creative projects. Undergraduate students can develop valuable skills through the Undergraduate Research Opportunities Program, and can present their research findings at campus symposia and a national conference dedicated to undergraduate research. Graduate and professional students work alongside faculty in the laboratory, the archives, and the studio, helping to generate new knowledge and creative works. Graduate and professional research roles prepare students to become future faculty as well as leaders in higher education, business, government, and nonprofit organizations around the world.

### **Advancing Human Research Protections**

Many key research discoveries in human health and social sciences would not have been possible without individuals willing to participate in research projects. The University is dedicated to meeting, upholding, and exceeding the highest ethical standards in research practices involving human participants.

Following a rigorous review and assessment of its human research policies and practices in 2015, the University implemented major changes to enhance its human research protection program. The Advancing Human Research Protections initiative had the goals of strengthening protections for human research participants and establishing a program that will serve as a national model.

The initiative completed its implementation phase in December 2016, having put in place the more than four dozen recommendations from the review as well as additional enhancements. Almost nothing in the University's work with human participants has gone untouched. The University has taken the advice of the broader community and incorporated suggestions from critics, especially in engaging research participants and training and expectations for our staff and faculty. Among the enhancements implemented are:

- an expanded and restructured Institutional Review Board (IRB), which increased the number of members and the range of expertise represented, allowing for more timely and rigorous IRB reviews;
- new policies for research participants who have impaired or fluctuating capacity to consent;
- new checklists, worksheets, and tools that provide transparency for researchers applying to the IRB;
- additional professional training for researchers and staff on the updated policies and practices;
- expanded post-approval review activities to monitor and support compliance;
- creation of the Fairview University Research Oversight Committee (FUROC) to improve communication and partnership between researchers and patient care staff at the University of Minnesota Medical Center;
- a research ethics campaign to build awareness of

the University's principles, policies, and processes that uphold ethical research practices;

- new approaches for managing conflicts of interest;
- formalized community participation through a new Community Oversight Board; and
- a new online IRB management system called ETHOS, which began rolling out in 2017.

Although implementation of the plan has ended, the University now has more staff and improved processes in place to ensure compliance with University standards as well as state and federal regulations, enhanced IRB reviewing capacity, and regular community feedback and consultation. In December 2016, the University's Human Research Protection Program was reaccredited with special distinction by the Association for the Accreditation of Human Research Protection Programs. The special distinction that accompanies the reaccreditation commends the University for its new policy on adults with limited or diminished capacity to consent to participating in research. The policy stipulates a high level of protection to such potential participants and clearly conveys these expectations to the research community.

## Advancing Transdisciplinary Partnerships

Transdisciplinary research partnerships involve collaborators from different disciplines and from outside organizations. The research is aimed at solving grand challenges that require multi-disciplinary perspectives, with outcomes that are societally significant and transformative.

### Minnesota's Discovery, Research and Innovation Economy (MnDRIVE)

MnDRIVE is a landmark partnership between the University and the state that aligns areas of University strength with the state's key and emerging industries to produce breakthrough research that addresses the state and society's greatest challenges. Starting in 2013, \$17.5 million in state funding has been authorized each year for research across the four MnDRIVE research areas (Robotics, Sensors, and Advanced Manufacturing; Global Food Ventures; Advancing Industry, Conserving our Environment; and Discoveries and Treatments for Brain Conditions).

In the four years of activity thus far, funding has catalyzed projects involving more than 980 researchers across three campuses (Twin Cities, Duluth, and Morris), including more than 100 departments within dozens of colleges.

With these funds and others leveraged, 677 people have been hired to date. These hires include 31 new faculty who, in turn, are responsible for 106 hires, including lab technicians, graduate students, undergraduate researchers, and post-doctoral fellows. Furthermore, at least 60 MnDRIVE trainees to date have graduated and been employed in academia, government, and in industry with companies like Boston Scientific, Ecolab, Sundial Solar Energy, and Reg Life Sciences.

In the first half of 2017 alone, researchers involved in MnDRIVE have disclosed 28 inventions for patents or licensing and have received more than \$25 million in funding from sources such as the National Science Foundation, Dupont, Allina Health, and Xcel Energy.

In its 2017 session, the Minnesota Legislature passed additional funding (\$4 million per year) for a MnDRIVE cancer initiative, which will focus on creating a statewide, multi-site network of cancer clinical trials. Cancer is the leading cause of death in Minnesota, and a broadened network will enhance providers' knowledge, increase patient access to care, and lessen the time it takes to find a cure.

### Increasing Informatics Capabilities

The University established Research Computing to consolidate management of services provided by the Minnesota Supercomputing Institute, the University of Minnesota Informatics Institute, and U-Spatial. These three units offer increasingly customized resources for computer- and data-intensive research to the University research community.

The Minnesota Supercomputing Institute (MSI) is a nexus for leading-edge research in scientific computing, for fostering interdisciplinary research on campus, and for enabling public-private collaborations. With close to 800 research groups and over 4,500 users, MSI enables high-impact research across the life, health, and social sciences and the high-performance computing tasks common to the engineering and physical sciences. In close

collaboration with the College of Food, Agricultural and Natural Resource Sciences on the Twin Cities campus, MSI is developing a platform for secure data sharing and analysis to foster public-private research collaborations in the agricultural sector.

The University of Minnesota Informatics Institute (UMII) was founded in 2014 to foster and accelerate research across the University system in agriculture, arts, design, engineering, environment, health, humanities, and social sciences through informatics services, competitive grants, and consultation. UMII's analysts work at the interface of core facilities and researchers to add value to the data through analysis. UMII funding supports undergraduate research through the Undergraduate Research Opportunities Program, and provides graduate fellowships for MnDRIVE-related research with a strong informatics component. One of the projects uses bioinformatics approaches to develop treatment techniques that mitigate the spread of antibiotic resistance in municipal wastewater.

U-Spatial collaborates with departments and centers across the University to serve a fast-growing need for expertise in Geographic Information Systems (GIS), remote sensing, and spatial computing. U-Spatial is increasing its support of research within Academic Health Center departments. Three examples are the development of a tool with Veterinary Medicine researchers to monitor safe swine transportation, working with researchers in Pediatrics to measure community support for GLBTQ teens, and working with Cardiology to map the prevalence of stroke patients throughout the United States.

### **Grand Challenges Research**

The focus on grand challenges research is aimed at marshaling the University's exceptional strengths to address society's most difficult and pressing problems. This is part of the vision to enhance ambitious transdisciplinary research and expand collaborations for greater impact, as emphasized in the *Driving Tomorrow* strategic plan. Through the Provost's Grand Challenges Research Initiative, the University is implementing new strategies to engage interdisciplinary teams of faculty, students, and community partners in collaborative research addressing the most significant problems of Minnesota

and the world. An overarching goal is to build new institutional pathways and mechanisms for transdisciplinary research, deepening engagement with communities and leading to innovative solutions. The University has made internal investments to seed and foster high-potential collaborations in five grand challenges areas of special focus (see the Twin Cities Planning chapter on page 10 for more details). The expanded strategies intersect with a variety of significant grand challenges collaborations aligning University strengths with opportunities and needs; the four-year-old MnDRIVE initiative is a prominent example. All collaborations to address grand challenges build on the expertise and strengths of faculty across the campus in both interdisciplinary and disciplinary research, as well as in teaching excellence and in outreach and public engagement.

### **Publicly Engaged Research**

Public engagement, in part, is the partnership of university knowledge and resources with those of the public and private sectors to enrich scholarship, research, and creative activity. Through these partnerships, engaged research can address critical societal issues and contribute to the public good. The local knowledge of community partners can be an important complement to the scientific inquiry that University researchers provide to address problems—with a focus on working with the community, rather than doing for the community.

Public engagement also serves as a strategy for enhancing research. By partnering with local, regional, and international community residents, agencies, businesses, governmental agencies, and others, public engagement can leverage research funding, provide new opportunities for faculty, enrich the student educational experience, and enhance the University's contributions to addressing issues in local and broader societies. Faculty members in departments and centers across the University have developed quality partnerships with external entities that have leveraged research funding and have implemented research that focused on addressing important societal issues. See the following Outreach, Service, and Engagement chapter on page 95 for select examples of community-engaged research.

# Accelerating the Transfer of Knowledge

## Economic Development

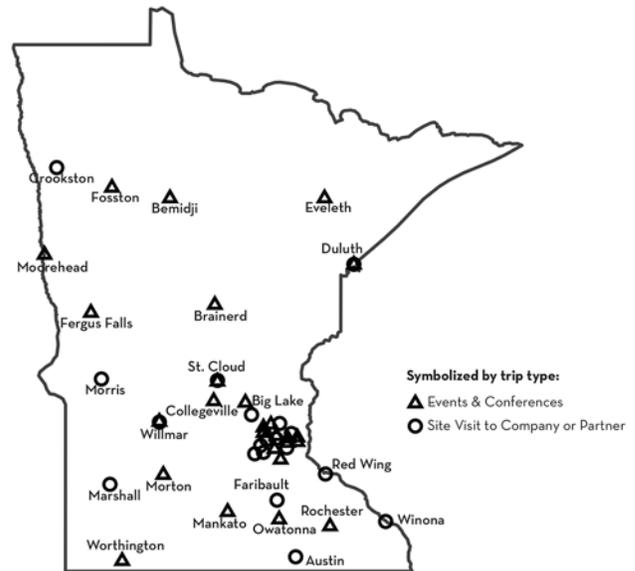
The Office of University Economic Development (UED) was established in 2014 to help business and industry partners connect with University resources, services, and expertise, and to work with government and economic development partners to identify opportunities for collaboration that grow and diversify Minnesota’s economy. It serves as the front door and more for economic development at the University of Minnesota.

In February 2016, UED approved a strategic action plan that establishes a vision and set of strategic imperatives that create a framework for increasing statewide collaboration, pursuing public-private partnerships, and promoting economic opportunity. In alignment with this strategic action plan, UED has hosted 200 business and community partner visits to the University and made 231 on-site visits to business and community partners. As shown in Figure 5-A, over 20 percent of the 600 visits since January 2015 were to greater Minnesota. UED represented the University’s innovation and talent resources at 224 conferences and events—presenting or exhibiting at a third of them.

In early 2016, UED and the Office of the Vice President for Research brought together a diverse group of stakeholders from the state, the University, and the private sector to discuss the current and future role of international immigration in meeting the needs of Minnesota’s workforce. The Committee on Minnesota Workforce and Immigrants was led by UED Executive Director Maura Donovan and then-Dean of the Humphrey School of Public Affairs Eric Schwartz, and included representatives from the Minnesota Chamber of Commerce, Greater MSP, Governor’s Workforce Development Board, Minnesota Department of Employment and Economic Development (DEED), Minnesota Department of Human Services, and the Greater St. Cloud Development Corporation.

The committee identified the need for a well-researched foundation for discussion of the role of immigrants in the workforce and commissioned Humphrey School of Public Affairs Associate

**Figure 5-A. Office of University Economic Development Visits and Events, 2015–2017**



Source: Office of the Vice President for Research, University of Minnesota

Professor Ryan Allen to author this report. Published in early 2017, “Immigrants and Minnesota’s Workforce” ([z.umn.edu/immigrantworkforce](http://z.umn.edu/immigrantworkforce)) found that the future strength of Minnesota’s economy depends on attracting and integrating immigrants into its workforce. The report included three case studies of community integration of immigrants in Minnesota.

Donovan and Bill Blazar, senior vice president of the Minnesota Chamber of Commerce, took the report on the road in spring 2017 to nine destinations, including Rochester, Faribault, St. Cloud, and Sartell, to engage community leaders and economic development professionals on its findings.

In January 2016, UED launched the Economic Development Fellows (EDF) Consulting Program with support from the Graduate School. EDF connects regional companies with graduate students, professional students, and postdocs seeking opportunities to gain experience in business consulting.

Thirty companies from a variety of industries, including medical devices, biotechnology, pharmaceuticals, retail, and environmental technology, have participated in the EDF program since it launched. To date, over 150 students from 15 colleges have participated in the program.

UED responded to 309 “Front Door Requests” in fiscal year 2017, connecting business and community partners to University research and talent resources. Twenty-three percent of requests from industry involved Fortune 500 (or FT Global 500) companies. Twenty-one percent of requests from industry involved companies in the Corporate Engagement Workgroup (CEW), which cuts across University programs and units to strengthen industry-University partnering.

Going forward, UED will continue to identify new opportunities to connect the resources of the University with business, government, and community leaders working to advance talent, innovation, and global trade. Those efforts include developing a stronger voice in Minnesota’s workforce issues, participating in promotion of Minnesota as a business destination, and creating experiential learning opportunities within Minnesota’s business community.

### Technology Commercialization

The University of Minnesota is committed to accelerating the transfer of knowledge by creating opportunities for public-private partnerships that move ideas and innovations out of the University and into the world, where they can do the most good.

The Office for Technology Commercialization (OTC) is a key part of the connection between the ideas and innovation created at the University and the companies, capital, and entrepreneurs who can bring them to the marketplace. This year, OTC was an important part of these successes, including:

- The University experienced another record year in fiscal year 2017 with 18 startup companies, the eighth consecutive year that the number of startups has increased.
- The University has launched 119 startups, with 78 percent still active, and has developed a strong startup pipeline of technologies with the potential to spin out into new companies.
- A survey of University startup companies found that since the OTC-Venture Center was formed in 2006, these startups have raised approximately \$400 million in outside investment capital.
- These University startup companies are also moving to the next stage of startup growth: business transitions, where startup companies

scale up, go public, or are acquired. Towards the end of fiscal year 2017, several startup companies were positioning themselves for acquisition or initial public offering in early fiscal year 2018.

- Minnesota Innovation Partnerships (MN-IP) is a series of programs designed to make it easier for industry to work with the University, both in sponsoring research and in licensing technology. MN-IP has two programs:
  - Try and Buy, a low-risk, low-cost means for companies to test University technology, including pre-set, industry-friendly licensing terms, which was expanded in fiscal year 2017 to include 151 available technologies.
  - MN-IP Create, a program designed and updated in response to industry feedback, which streamlines the process for industry-sponsored research and licensing of resultant IP. The menu of licensing options from which companies can choose includes fixed-fee and exclusive or non-exclusive licensing. Since its inception, MN-IP Create has led to 333 agreements with 190 unique companies (**Progress Card Measure**), with a value of \$53.9 million in research sponsorship.
- Seven promising University startup companies have been approved for funding consideration under the Discovery Capital investment program, three of which have been further approved for a second round of investment. Launched in 2014 to help University startups overcome the high hurdle of early-stage financing, the program offers seed funding with a requirement that the investment be matched by external partners. The program has invested \$2.2 million, attracting total matches of \$17.9 million.
- UMN startups Innotronics, LLC and Minnepura Technologies, SBC were named among the 35 “Best University Startups 2016,” and Photonic Pharma, LLC and ThermChem, Inc. were named among the 40 “Best University Startups 2017” by the National Council of Entrepreneurial Tech Transfer. Three University inventions received National Innovation Awards from TechConnect, a global innovation scouting company.
- Staff continued to reinforce OTC’s internationally recognized leadership in university technology

transfer, with OTC ranked as the sixth best public university technology transfer office in the country, and fourth among all U.S. universities in terms of license deals completed, according to a study by the Milken Institute. Additionally, OTC was the only external university invited to participate in strategy development meetings as part of the University of California's UC Innovation Thinking Day.

### **MN-REACH**

The University is one of only three institutions with a National Institutes of Health Research Evaluation and Commercialization Hub (REACH) grant. When combined with University matching funds, these grants make a total of \$6 million available to selected teams over three years. MN-REACH provides University-wide commercial expertise and resources to help develop and commercialize diagnostics, therapeutics, preventative medicine, and medical devices. Now in the middle of its third year of operation, the program has provided coaching for more than 63 faculty teams; provided skills development offerings for more than 200 faculty, post-docs, and graduate students; and awarded grants totaling \$2.95 million to 26 promising projects addressing 24 unique, unmet clinical needs.

### **MIN-Corps**

MIN-Corps is the University's site for Innovation Corps, part of the National Science Foundation's programming that focuses on expanding scientists' skill set out of the laboratory to translate their discoveries into the commercial world. University teams receive micro-grants to fund initial prototyping and customer research, part of a 14-week startup course in which students and faculty are paired with industry mentors to test their assumptions and search for a sustainable business model. Beyond the startup curriculum and MN-REACH support described above, MIN-Corps delivers training and information sessions to faculty and students to promote the University's entrepreneurial culture. Over 450 faculty and students attended one or more MIN-Corps offerings throughout the year.

### **External Stakeholder Engagement**

The External Stakeholder Engagement program promotes collaborative research across disciplines with external stakeholders, such as industries, government agencies, nonprofits, and community organizations. The program started in 2016 with four pilot projects to co-locate visiting experts to accelerate the transfer of knowledge for the public good.

One of the projects brought a graphic designer from a major firm to campus to bridge the experimental and practical worlds of graphic design through scholarship and creative production. The designer has collaborated with different research units for projects in relation to environment and climate and helps both faculty and students to engage in channeling graphic design practice towards scientific communication to the public. Another project with 3M uses mathematical and computational approaches to identify structures in high-dimensional datasets to develop new technologies for computer vision.

The program emphasizes the bidirectional transfer of knowledge between academia and external stakeholders for the benefit of both partners. The visiting experts spend time embedded in academic units, participating in research, scholarship, or artistic and creative experiences, with University faculty, students, and staff.

## **Promoting a Culture of Serendipity**

Promoting a culture of serendipity is central to connecting researchers across departments, colleges, and disciplines—and with colleagues and communities outside of the University—to think creatively and cultivate new ideas. Connectors, individuals across and at all levels within the University, play essential roles in bringing together seemingly unrelated disciplines and ideas to foster creativity and innovation.

### **Convergence Colloquia**

Convergence Colloquia were multi-disciplinary gatherings created to advance cutting-edge research to develop innovative solutions and build long-term partnerships that improve the world. Seven highly successful Convergence Colloquia drawing more than

600 participants were held from 2015 to 2016 on the topics of smart cities and infrastructure, aging, health equity, renewable energy, sustainable food systems, water supply, and citizen science.

The colloquia were followed by the opportunity to build new collaborative research teams with funding from dedicated Serendipity Grants. Following on the seven Convergence Colloquia, 25 Serendipity Grants (out of 60 proposals) totaling more than \$522,000 were awarded, with \$130,000 supported by the McKnight Foundation. Grantees also leveraged the funds for, at minimum, an additional ten external grants worth \$2.8 million. Serendipity Grants supported projects to highlight the challenges facing rural grocery stores; to build a community of local practitioners monitoring the health of the St. Louis River and Lake Superior watersheds; to benchmark the sustainability and efficiency of urban farms; to survey the needs of transgender senior citizens in Greater Minnesota; and to use citizen science to address Minnesota's achievement gap, among other topics.

#### **Connectors Network and Serendipity Team**

Two University-wide committees continue to work to identify, network, and empower the administrators, faculty, and staff that play an essential role in bringing together seemingly unrelated disciplines to foster creativity and innovation.

The Serendipity Team draws on the expertise of administrators and faculty from across the University who are leaders in advancing cross-disciplinary

connections. The team has identified four models for sparking large interdisciplinary projects that are successfully funded at the University and is analyzing which of these strategies might be expanded to grow interdisciplinary research and funding across the University.

The Connectors Network, composed of collegiate and research center staff who are involved in research advancement activities and who play an important role in spurring cross-disciplinary research within their colleges, has formed three working groups. One group is working with the Serendipity Team to pilot a model to provide additional administrative support to researchers in the process of assembling large interdisciplinary grant proposals. Another group is starting a new University-wide network of research advancement and development staff to share ideas, resources, and expertise and help increase awareness of these staff members among faculty researchers. A third group is developing more tools and resources for staff who coordinate grants to help reduce the administrative burden of submitting grants. The latter group has already created a new centralized list of key personnel who approve grant proposals within University units.

For more about research at the University, visit [research.umn.edu](http://research.umn.edu).



# Outreach, Service, and Engagement

Partnering with communities to advance research, share knowledge, and provide students with powerful academic experiences that address society's most challenging issues.

## Introduction

The University's three-fold mission includes the imperative to partner with communities to advance research, share knowledge, and provide students with a real-time, real-life academic experience. This has been an emphasis of the University from its foundation and strengthened by a comprehensive Ten-Point Plan for Advancing and Institutionalizing Public Engagement, which since 2008 has focused on what contemporary higher education calls the "new engagement." This new engagement shifts the focus away from traditional, uni-directional community outreach efforts to more academically integrated activities in which the University's research, teaching, and learning efforts are designed to address societal issues through reciprocal, mutually beneficial partnerships.

Reciprocal public engagement is one of the four interrelated goals articulated in the Twin Cities campus strategic plan, which supports the vision of the University as preeminent in solving the grand challenges of a diverse and changing world. Although initially anchored in strategic planning for the Twin Cities campus, this vision—which supports dynamic University-community partnerships to advance discovery, create pathways for students, and benefit the state of Minnesota and the world—is consistent with the goals and strengths of all five campuses and their various colleges.

In September 2016, a 38-member work group was charged with recalibrating the Twin Cities campus's public engagement agenda and developing a set of action steps for furthering the institutionalization of reciprocal, public engagement over the next five years. Composed of faculty, engagement unit leaders, staff, and students from a broad range of disciplines and units, this work group engaged in a yearlong process to identify key priorities for advancing public engagement, articulate a vision for each priority, and develop a set of action steps to guide the campus's work in fully meeting the identified engagement priorities. The group produced an initial draft of the action plan in March 2017. Throughout the month of March, a series of public feedback sessions were held on the Twin Cities campus and in the community, during which work group members garnered feedback

on the initial draft. Individuals and groups were also invited to submit input and suggestions for revision via an online feedback system.

The final version of the Public Engagement Action Plan, released in June 2017, comprises ten priority areas, with an emphasis on addressing internal policy, infrastructure, and culture issues to strengthen the campus's reciprocal engagement and mutually beneficial partnerships across all aspects of publicly engaged research, teaching, and outreach efforts. This plan is designed to intersect with other campus-wide and systemwide strategic plans.

In addition to the Twin Cities process, Crookston, Morris, and Rochester are in the final stages of preparing campus-specific public engagement action plans. The Duluth campus is developing a new action plan for public engagement during the 2017–2018 academic year.

This reciprocal public engagement agenda continues to support long-term relationships with public and private sectors and connects community engagement to all aspects of the University's identity as a land-grant university, an institution of higher learning, a research university, a metropolitan university, and a public university. Publicly engaged research, teaching, and outreach initiatives enhance the University's capacity to produce research of significance, to improve educational experiences of students, and to be a source of knowledge and solutions for communities. The University's campuses are located across the state, in thriving metropolitan areas and in rural regions with agricultural strengths and traditions. The University leverages the distinctive strengths and location of each campus to engage with a range of partners—communities, businesses, nonprofits, civic and governmental bodies, and arts and cultural organizations.

### Leading Nationally as an Engaged University

During the 2016–2017 academic year, three of the University's campuses—Crookston, Morris, and Twin Cities—were named to the 2016 President's Higher Education Community Service Honor Roll, which recognizes institutions of higher education that support exemplary community service programs and raises the visibility of effective practices in campus-community partnerships. The Honor Roll's

Presidential Award is the highest federal recognition an institution can receive for its commitment to community, service-learning, and civic engagement.

In 2017, the University of Minnesota Libraries received the National Medal for Museum and Library Service, which is the nation's highest honor given to museums and libraries for service to the community. The award celebrates institutions that respond to societal needs in innovative ways, making a difference for individuals, families, and their communities. This is only the third time the award has been given to an academic library.

In addition, the Association of Public and Land-grant Universities named the University of Minnesota as the winner of the inaugural Institutional Award for Global Learning, Research, and Engagement. This new award recognizes institutions at the leading edge of inclusive and comprehensive efforts to internationalize their campuses. With leadership from the Global Programs and Strategy Alliance, the University of Minnesota has established a wide-ranging internationalization effort that spans the entire institution—from international students and study abroad to research projects and curriculum design.

The Association of Public and Land-grant Universities also recognized the University of Minnesota's Institute on the Environment with an exemplary designation for the 2017 W. K. Kellogg Foundation Community Engagement Scholarship Awards and the C. Peter Magrath Community Engagement Scholarship Award. The award recognizes programs that demonstrate how colleges and universities have redesigned their learning, discovery, and engagement missions to become even more involved with their communities.

The Morris campus was recognized with a 2016 Clean Energy Community Award. The award, sponsored by the Minnesota Commerce Department, recognizes Minnesota communities that are furthering the state's clean-energy goals by implementing programs, policies, and technologies that encourage energy efficiency, conservation, and renewable energy. Together with the City of Morris, the University of Minnesota has launched several complementary initiatives with diverse partners to incorporate clean energy and conservation goals into its overall planning efforts.

One faculty member and one community partner were inducted into the selective Academy of Community Engagement Scholarship. Inductees are singled out and recognized for significant contributions to strengthening collaborations between educational institutions and communities and for field-shaping work that furthers community-engagement theory, policy, and practice. Also, for the first time in University history, a University of Minnesota student was named a 2017 Newman Civic Fellow. The fellowship, sponsored by Campus Compact, supports community-committed university students who have demonstrated an investment in finding solutions to community challenges. The one-year fellowship brings these outstanding student problem-solvers together in a national network focused on making positive change across the country.

The University remains an active member of and plays a leadership role in national and international peer networks devoted to strengthening and leading higher education's "new engagement" agenda. These include: Campus Compact; Imagining America; Council of Engagement and Outreach of the Association of Public and Land-Grant Universities; Big Ten Academic Alliance Engagement Council; Community-Campus Partnerships for Health; National Academy for Community Engagement Scholarship; International Association for Research on Service-Learning and Community Engagement; Coalition for Urban and Metropolitan Universities; National Review Board for the Scholarship of Engagement; and the Engagement Scholarship Consortium.

As a leader within these organizations, the University hosted two meetings in summer 2017. The first was a national convening of engagement and outreach administrators from research universities across the United States. Over the course of two days, attendees examined the ways that university leaders of public engagement can strengthen their public engagement agendas. This event launched the establishment of the National Forum for Chief Engagement and Outreach Officers, which will meet semi-annually to continue this work. The University also hosted the meeting of the Big Ten Academic Alliance Engagement Council, which brings together the lead engagement and outreach administrators from Big Ten institutions to examine critical issues pertaining to university

public engagement. At this meeting, council members examined federal research funders' expectations for broader impacts, the politics of engagement, and issues with managing multiple public engagement agendas (i.e., student academic engagement, faculty community-based research, economic development, Extension statewide programming, international engagement, etc.).

Commitment to public service is one of the cornerstones of the University's mission as a public land-grant institution. Like teaching and research, public service is embedded in the many diverse functions of the institution, from medical clinics and service-learning classes to extension research and education centers throughout the state and world. Although no one metric can capture the quality or impact of the University's public service activities, expenditures on public service activities (**Progress Card Measure**) are an indication of its commitment, similar to expenditures on research activities. The University expects to maintain or increase its level of public service expenditures.

### Deepening the Culture of Publicly Engaged Research and Teaching

Several strategic initiatives were advanced to strengthen and deepen the integration of local, regional, national, and international public engagement into faculty research and academic curricula, as well as undergraduate and graduate student learning. These initiatives included engagement recognitions, policy developments, and actions that promote the principles of high-quality, reciprocal University-community engagement. A few examples from the 2016–2017 academic year include:

- The Public Engagement Council, a systemwide deliberative body that addresses critical and complex issues concerning public engagement, advanced twelve policy issues including setting standards for community-engaged scholarship that can guide department- and college-level promotion and tenure review committees in assessing the quality and scholarly value of faculty members' community-engaged research, teaching, and public engagement; and streamlining various transactional processes for community partners who collaborate with the University.

- Six faculty members were named Community-Engaged Teaching and Learning Faculty Fellows. The fellows program provides support to faculty to develop new courses or revise existing courses using community-engaged learning principles.
- The systemwide Community-Engaged Learning course attribute is now available for instructors to select for courses that include a community-engaged learning component. Faculty can use the attribute, which was developed in response to student interest, to spotlight community-engaged learning pedagogies in course descriptions. The attribute also helps students and academic units identify courses that contain community-engaged learning opportunities. In its pilot year, the attribute was used for 154 courses with 6,748 enrolled students.

### Addressing Societal Issues through Public Engagement

The University's publicly engaged research, teaching, and outreach activities address a broad range of societal issues across a diverse set of communities, settings, and regions, examples of which follow.

#### *Leadership and Civic Development*

- The Center for Urban and Regional Affairs' **Hennepin-University Partnership** recruited 400 University student volunteers to help Hennepin County process an estimated 120,000 absentee ballots during the week prior to the 2016 presidential election day. With the students' help, Hennepin County Elections was able to process and count absentee ballots more rapidly than anticipated. As an additional outcome of this project, students expressed interest in exploring future career opportunities with Hennepin County.
- In southern Minnesota, **Extension** leadership and civic engagement educators worked in four counties to create bridges among communities while preparing emerging leaders for future leadership roles. A post-program evaluation of these cohorts in 2016 revealed that 90 percent of participants in these programs gained new knowledge about other towns in their county, 73 percent had increased the formal links and networks they had with people from other communities, and 58 percent said that the county

had a better shared vision for the future as a result of the program.

- The **Undergraduate Leadership Minor** field experience brought together 180 undergraduate students and 50 community partners to work on community-identified projects related to young people, health equity, the arts, and social enterprise.
- Two graduate education programs facilitated by the **Interdisciplinary Center for the Study of Global Change** hosted 15 scholars from twelve academic departments within five colleges and schools. The scholars—from countries including Chile, Costa Rica, India, Mexico, South Africa, the United States, and Zimbabwe—studied the global south in the context of global change.

#### *Economic Development*

- Now in its 13th year, the Carlson School of Management's **MN Cup** is a startup competition and hub to connect Minnesota's entrepreneurial ecosystem. In 2017, out of the 520 teams in the competition, 29 percent were led by minorities and 37 percent by women. In total, 1,280 people participated in the competition.
- The **Metropolitan Design Center** (MDC), within the Twin Cities campus' College of Design, explores how an integrated urban design approach makes metropolitan communities more livable and sustainable. Using the Twin Cities area as a laboratory, the MDC's teaching, research, and outreach programs bring University faculty and graduate students together to participate in critical design and research investigations of issues that make livable and sustainable cities possible.
- Duluth's **Center for Economic Development** (CED) works to strengthen the viability of the Duluth region as a recognized leader in small business development. In 2017, CED assisted the economic development of Northern Minnesota by helping 1,040 entrepreneurs and businesses grow and succeed. This included one-on-one consulting on issues such as finances, marketing, business start-up and loan packaging, as well as partnering 195 students with 35 businesses to work on business projects through the Student to Business Initiative program.

- **Government and Community Relations** connected University units and faculty with the Cedar Riverside Opportunity Center, which opened in March 2017. The Center is a one-stop shop for educational, workforce, and career pathway services with direct access to skill-building opportunities that lead to well-paying jobs in the Cedar Riverside neighborhood.
- Extension's **Center for Community Vitality** delivered 165 applied research reports to Minnesota communities in 2016. This research helps local leaders make critical decisions about investments. End-of-year interviews indicated these reports had, for example, helped match job applicants to local jobs, informed comprehensive plans for local government, resulted in tourism development, informed marketing plans, helped to restructure a Chamber and Economic Development Corporation, and informed local tax abatement policy.

#### *Environment and Sustainability*

- **University of Minnesota Extension**, the **Minnesota Aquatic Invasive Species Research Center**, and the Minnesota Department of Natural Resources have partnered to develop a training certification course that empowers citizens to help identify and fight aquatic invasive species in their communities. This past academic year, 125 Minnesota citizens participated in the program.
- As a student-led initiative, the **Engineers Without Borders** program develops students as humanitarians, engineers, and leaders. Working primarily on issues of water access, the program has partnered with three communities in Bolivia, Guatemala, and Uganda to design and implement water access solutions such as harvesting rainwater and ensuring potable water reaches communities.
- Working in five regions across the state, Extension's **Regional Sustainable Development Partnerships** brought together 364 partners on 127 community-driven sustainability projects across Minnesota working on issues ranging from water quality to local foods to economic development.
- Through the **Natural Capital Project**, an NGO-academic partnership between the Institute on the

Environment, Stanford University, The Nature Conservancy, and World Wildlife Fund, over 334 people from over 30 countries attended the Natural Capital Symposium, including researchers, practitioners, and decision-makers from the public and private sectors, to explore approaches and tools to utilize nature's contributions to society.

- The **Institute on the Environment**, through Acara Impact Entrepreneurship, taught 230 students how to develop interdisciplinary solutions to environmental problems and funded the launch of nine of these solutions in Minnesota, Uganda, India, Haiti, and Nicaragua.
- **Extension's** natural resources team recruits, trains, and supports Minnesotans who volunteer for citizen science projects statewide. These programs mobilized 1,355 volunteers who committed 82,769 hours to citizen science projects. Projects included the Minnesota Bee Atlas, where volunteer observers help create a statewide list of native bees found in Minnesota, and the Minnesota Master Naturalist program, which promotes stewardship of Minnesota's natural environment.
- Extension's **Nonpoint Education for Municipal Officials** held three "workshops on the water" for 145 elected and appointed officials and community leaders, including city council members and watershed board and advisory committee members. Of the leaders participating, 83 percent said they were preparing to take action on things such as adopting minimal-impact design standards in communities, educating the community on the benefits of reducing water consumption, and protecting high-risk erosion areas.

#### *Equity and Diversity*

- The City of Brooklyn Park is working with students from the **Humphrey School for Public Affairs** to improve strategies to foster a more equitable community. The city is partnering with students in the Master of Urban and Regional Planning program to document changes in the community and propose solutions to such issues as economic development, housing, and school mobility.
- The **Robert J. Jones Urban Research and Outreach-Engagement Center** is partnering with the Governor's Office of the State of Minnesota and the Women's Foundation of Minnesota to address issues of equity in opportunity for young women throughout the state.
- The Duluth campus's **Center for Regional and Tribal Child Welfare Studies** received a federal grant from the U.S. Department of Health and Human Services to create a better delivery system for the Indian Child Welfare Act, a federal law that seeks to keep American Indian children with American Indian families. This five-year grant supports the center's partnership with six community-based groups and organizations including courts, child welfare agencies, and tribes. In addition, the Duluth campus has received a \$110,000 grant to train newly elected and appointed tribal leaders and administrators. Through a new certificate program, participants complete a capstone project and present emerging research on best practices in tribal administration and applied tribal sovereignty.
- The Immigrant Stories project, coordinated by the **Immigration History Research Center**, has collected over 250 stories representing more than 50 different communities from recent Minnesota immigrants and refugees. An expansion plan was developed as part of a \$320,000 National Endowment for the Humanities grant, which will engage the center in partnerships to take these efforts to other regions of the country.
- The Center for Urban and Regional Affairs' **Artist and Neighborhood Partnership Initiative** programs offered technical assistance and ten small grants to individual artists and community-based, neighborhood-based, and other place-based organizations to increase engagement, power, and influence of community members affected by racial, social, and economic disparities.
- The Center for Urban and Regional Affairs' **Neighborhood Leadership and Organizing** program builds the capacity of residents and place-based organizations to take on local concerns by developing the skills of their organizers and leaders through trainings, support, and strategic partnership building. The program held 20 trainings this year with more than 140 attendees.

### Food and Agriculture

- University of Minnesota Duluth students employed at **Glensheen** continued to grow and harvest produce for people around the country as part of a collaborative involving Glensheen, Second Harvest Northern Lakes Food Bank, and Extension. Over the past decade, they have harvested more than 13,000 pounds of produce for people in eight counties.
- The **Institute on the Environment** partnered with the Natural Capital Project and the University of Vermont to build a mobile app that helps farmers and gardeners share and explore best practices for bee pollination. Developers focus on the business side of conservation management by including the ability to conduct productivity and cost-benefit analyses.
- The **Healthy Foods, Healthy Lives Institute** co-hosted the Conference on Native American Nutrition in September 2016 to bring together tribal officials, researchers, practitioners, and community leaders to discuss the current state of indigenous and academic scientific knowledge about Native nutrition and food science and how the various stakeholders can work together on future projects. In total, 450 participants, representing 84 tribal communities, attended.
- Extension's Center for Agriculture, Food, and Natural Resources delivered eight **Nitrogen Smart** training programs to minimize nitrogen losses. In total, 274 farmers attended the workshops. As a result, twelve percent of attendees stopped using fall urea, a fertilizer that can affect nitrogen loss, which led to an estimated 12,512 acres of land that reduced nitrogen loss by 150,240 lbs.
- Two new sets of curriculum and teaching resources helped Extension **Master Gardeners** address statewide critical concerns. The "Water Wisely" curriculum addresses water waste in lawns and gardens. The "Pollinators and Native Plants" teaching package educates the public on the issue of habitat preservation and protection for pollinators, which pollinate more than 70 percent of Minnesota's fruit and vegetables. In total, 2,371 volunteers provided 143,408 hours of time to community education over the past year. The volunteers reached 151,287 adults, 59,519 youth,

and 36,696 individuals from under-represented audiences. Minnesota Master Gardeners were involved with 105 community gardens and 56 school-based gardens. Their effort resulted in 12,832 pounds of produce donated to food banks and pantries.

### Health, Medicine, and Well-Being

- The Clinical and Translational Science Institute's **Office of Engagement to Advance Research and Community Health** conducted three Community Engagement Studios that engaged more than 80 community members to help inform research conducted at the University.
- Three University-community research teams were awarded pilot grants in health disparities research in fall 2016. Run by the **Program in Health Disparities**, the grants encourage community-initiated research and foster sustainable long-term collaborations between community-based organizations and academic researchers on projects focused on reducing and eliminating health disparities.
- The **Community-University Health Care Center (CUHCC)** provided primary medical, behavioral health, and dental care services to over 11,000 patients in 55,000 visits. As one of the largest urban health clinical training sites for nearly 300 health professional students and residents, CUHCC continued to serve the Phillips and surrounding communities of south Minneapolis, including patients from over twelve different racial and ethnic groups spanning five continents.
- The **Center for Bioethics** held a series of events on Violence and Health Injustices. In total, more than 500 people attended workshops on topics such as racism and police violence; refugees, asylum seekers, and undocumented communities; and dismantling campus rape culture.
- Leaders and staff from community organizations participated in the Community Research Institute 2.0 (CRI 2.0), an eight-week workshop from the **Program in Health Disparities Research** and the **Office for Business & Community Economic Development**. CRI 2.0 is designed to enhance the capacity of community organizational leaders and staff in health-related research methodology,

so they can develop and conduct grant-fundable research projects and/or increase their capacity to develop research partnerships. This year's cohort included two community-based organizations from North Minneapolis.

- The **Consortium on Law and Values in Health, Environment & the Life Sciences** reached 1,947 people through a series of trainings and events on topics such as how patients are creating medicine's future, emerging diseases, and a two-day national conference on the future of informed consent in research and translational medicine.

#### *Interdisciplinary Public Engagement*

- Juniors and seniors on the Rochester campus participated in the **Community Collaboratory (CoLab)**, through which students take part in a project to improve the quality of life in Southeastern Minnesota and contribute to meaningful partnerships between the Rochester campus and the surrounding community. The campus has developed strong ties with local public, private, and nonprofit organizations, including the YMCA, where students are helping develop programs to fight childhood obesity; the Boys and Girls Club, where students help children learn about college and career options; and the Hawthorne Education Center, where they continued to work to fund a laptop program.
- The **Robert J. Jones Urban Research and Outreach Engagement Center (UROC)** has vital partnerships between the University and North Minneapolis to advance learning, improve quality of life, and discover breakthrough solutions to urban-based critical problems. During 2016–2017, UROC completed 55 research projects involving 99 community partners and 43 University partners; these projects addressed issues pertaining to education and lifelong learning, health and wellness, and economic and community development. In addition, UROC launched a website for use as a dissemination tool and conversation starter for community partners and researchers who work in the area of trauma.
- Since 2009, the Morris campus's **Office of Community Engagement** has hosted monthly community meals at Legacy Living, Morris Senior

Center, and Faith Lutheran Church to foster conversation between students and elders. Since the program's inception, the number of attendees has grown to an average of 225.

- The **Center for Integrative Leadership** engaged the Cedar Riverside neighborhood community in a variety of ways to further discussion and skill building of individual and shared leadership. Examples include neighborhood leadership development forums; an undergraduate leadership course that engaged students in the neighborhood in an experience that parallels the immersion of study abroad; early childhood education efforts; a small-business case competition through partnership with the Carlson School of Management; and a public health collaborative between the School of Public Health and interested Somali community members. In addition, the center was selected to host the 2017 Mandela Washington Fellowship Institute. The fellowship, the flagship program of the federal government's Young African Leaders Initiatives, empowers young African leaders through academic coursework, leadership training, mentoring, networking, professional opportunities, and support for activities in their communities.
- The Center for Urban and Regional Affairs matched research and technical needs of organizations with student research assistants to carry out 41 community-defined and guided projects. The **Community Assistantship Program** serves Greater Minnesota community-based organizations and government agencies while the **Kris Nelson Community Based Research Program** works with community-based organizations or government agencies in the Twin Cities area.
- The Center for Urban and Regional Affairs facilitated the **Community Geographic Information Systems** program, a walk-in technical assistance center providing mapping services, data analysis, and GIS training opportunities to neighborhood groups, community-based organizations, and other nonprofits in the Twin Cities metro area and Greater Minnesota. The program produced 400 maps for 45 different organizations, totaling 60 separate projects.

## Youth and Education

- **Ramp-Up to Readiness** continued to partner with middle and high schools to establish school-wide programs designed to help prepare students for postsecondary success. The program, run by the College Readiness Consortium, leads students through a research-based sequence of activities and workshops that prepares them for postsecondary success. Over the years, 122,001 students in 215 schools in eight states (Minnesota, Wisconsin, Michigan, Connecticut, Ohio, Oregon, Kansas, and Utah) have been served by the program.
- In the past year, **Path to Reading Excellence in School Sites (PRESS)**—a framework for data-driven decision-making and interventions in elementary reading—provided professional learning workshops to over 3,000 educators at districts across Minnesota, Wisconsin, and Iowa. In addition, over 200 educators attended PRESS workshops at the University to learn and implement the framework.
- Together with White Earth Tribal and Community College, the **Crookston campus** offered an undergraduate program in early childhood education and elementary education. This program offers to its cohort of 15 students a customized learning environment that encourages the pursuit of baccalaureate degrees in early childhood education and elementary education.
- Over 500 University of Minnesota faculty, K–12 educators, youth, and school and community leaders gathered in June 2017 for the **Educational Equity in Action II** conference to share research and programs on the theme of “Working Across Schools and Community to Enhance Social Emotional Learning.” Presentations explored the impact of chronic trauma on youth, including a special focus on American Indian students.
- The **Department of Gender, Women, and Sexuality Studies** partnered with St. Paul’s Parkway Montessori and Community Middle

School for the second year to help students create and share digital stories to deepen their sense of community and to help them advocate for their community. In the signature immersion experience for this initiative, 300 seventh and eighth graders marched to the state capitol from St. Paul College to engage with legislators and other civic leaders about their issues of concern.

- Successful engagement with youth requires that youth workers and adult volunteers have a deep understanding of youth development and an intentional method to welcome and integrate youth into high quality programming. **Extension’s** youth development staff provided 105 trainings (both online and in person) to over 3,356 youth workers and volunteers around the state of Minnesota.
- Extension’s **Family Development and 4-H Youth Development Centers** partnered to reach low-income youth, and their families, residing in West and South St. Paul. Family Development staff teach families to make nutrition and physical activity choices to improve their health and prevent obesity. The Youth Teaching Youth program utilizes a cross-age teaching model where high school students deliver lessons on healthy living topics to younger youth.
- The **Institute for Global Studies** provided professional development opportunities for K–16 teachers on global and international topics. During the past academic year, the Institute worked with 122 schools in the state of Minnesota, facilitating workshops for 590 teachers and educators.

For a more about the societal issue areas the University addresses through research, teaching, and outreach, visit [engagement.umn.edu](http://engagement.umn.edu).



# Operational Excellence: Faculty and Staff

Employing world-class faculty and staff who are innovative, energetic, and dedicated to the highest standards of excellence.

## Introduction

The University of Minnesota's outstanding faculty and staff are its most valuable asset and the key to achieving its mission of teaching, research, and community outreach. Providing world-class services for a world-class University depends on recruiting and retaining talent of the highest caliber.

With more than 26,000 employees throughout Minnesota, the University is the state's fifth-largest employer, contributing to an estimated \$8.6 billion annual economic impact. Employees account for close to 62 percent of the University's total spending, making them by far the institution's most important resource. The University is committed to providing its faculty and staff with competitive compensation, benefits, development opportunities, and a supportive work environment to help them achieve the University's goals. This is reflected in the University's employee value proposition: "You're driven to change the world. We're here to support you."

## A Highly Engaged Faculty and Staff

Creating a culture in which employees are fully engaged in their work benefits both the organization and the individual employee. University leaders see employee engagement as key to attracting and retaining top talent, while also aligning faculty and staff efforts in support of the University's mission. A highly engaged workplace fosters collaboration and innovation, removes barriers to employees completing their work, and supports resilience, efficiency, well-being, and high performance.

The University launched a research-based program in 2013 to measure and improve faculty and staff engagement. The program, now in its fourth year, includes an employee engagement survey administered every two years to over 18,000 faculty and staff on all five campuses. The survey measures two drivers of engagement: 1) commitment and dedication, and 2) effective environment. The results of each survey are shared with leaders and managers in every unit and department, and action plans are developed to improve areas of opportunity.

In the most recently completed employee engagement survey, 74 percent of staff and 62 percent of faculty participated, both new highs, with overall participation reaching 71.4 percent, close to the established target of 72 percent overall participation by 2021 (**Progress Card Measure**). These engagement results have consistently shown very high levels of faculty and staff commitment and dedication that exceed the levels of many top-performing private companies worldwide. Employees continue to feel motivated to go beyond their day-to-day job responsibilities. Faculty and staff experience the University as a respectful and empowering environment, according to past survey results. They also report high levels of pride in working for the University.

To give units more time to take action in response to faculty and staff feedback, and to evaluate the survey administration process, the survey was not administered in 2016. During 2016–2017, engagement events were held across the system for hundreds of faculty, staff, supervisors, and academic and administrative leaders. Events included panel discussions, listening sessions, and supervisor trainings focused on best practices in employee engagement from peers within the University. The 2017 survey results will be rolled out systemwide in January 2018.

The University's engagement program is one of the most robust among higher education institutions in the United States, and is unique for its focus on taking action to advance collective priorities based on faculty and staff input, the high level of faculty involvement in advancing engagement, and the direct connection between employee engagement and leadership development efforts. The University's processes and results have been presented nationally and internationally to human resource academics and practitioners from other colleges and universities.

### Faculty Satisfaction

In fall 2013 and winter 2014, the University participated in Harvard University's Collaborative on Academic Careers in Higher Education (COACHE) survey. The survey—which was administered on the Twin Cities campus and covered responses to questions about perceptions of tenure, institutional climate, culture and collegiality, institutional policies

and practices, and global satisfaction—has produced benchmark data that will inform faculty development work to foster a culture of support and success.

The results of the survey include comparisons with other peer universities and thus provide helpful data about faculty satisfaction levels at other institutions. The University compares favorably in a number of areas, including those associated with promotion and tenure and facilities. Moreover, overall satisfaction is high (69 percent of faculty responded they would select the University of Minnesota again, peers 67 percent); the University compares well as a place of work (72 percent, peers 65.2 percent) and in terms of satisfaction with benefits (83 percent, peers 69.3 percent). The survey also provides valuable and actionable information about areas in which the University can improve, such as departmental climate and engagement.

#### National and International Faculty Recognition

The University actively promotes distinguished faculty as they compete for national and international research and teaching awards. In cooperation with faculty members, previous award winners, and senior leadership, efforts are being made to:

- understand and communicate the nomination procedures for the most prestigious national awards;
- form partnerships with deans and chairs to identify strong candidates, as well as potential nominators;
- identify a broad spectrum of prestigious academic awards and the faculty who have received them;
- analyze career trajectories of faculty members who may be poised for major awards;
- actively support nominators and candidates during the application processes; and
- advocate appropriately on behalf of University nominees.

The research, teaching, and service of University faculty are celebrated through research professorships, institutional teaching awards, and recognition of various types of institutional service. Faculty also continue to garner considerable recognition for their scholarly pursuits (**Progress Card Measure**).

Since 2012, faculty have received many major academic awards, including the prestigious American Academy of Arts and Sciences (nine), Guggenheim Fellowships (six), the National Academy of Medicine (formerly the Institute of Medicine, two), the National Academy of Engineering (five), the National Academy of Sciences (three), and the National Academy of Public Administration (three).

In 2016, the Thurber Prize for American Humor was awarded to Julie Schumacher for her book *Dear Committee Members: A Novel*. Charlampos Babis Kalodimos (biochemistry, molecular biology & biophysics) received the Raymond and Beverly Sackler International Prize in the Physical Sciences. In addition, Professors Robert Nichols and Nancy Luxon (political science) and Jean O'Brien (history and American Indian studies) received an award from the Andrew W. Mellon Foundation funding a cross-disciplinary Sawyer Seminar planned for 2017–18, titled *The Politics of Land: Colony, Property, Ecology*. Donald Truhlar (chemistry) received the 2016 Earle K. Plyler Prize for Molecular Spectroscopy & Dynamics, awarded by the American Physical Society. Allen S. Levine was named a Fellow of the American Society for Nutrition.

In 2017, Giancarlo Casale (history) received a New Directions Fellowship from the Andrew W. Mellon Foundation. David Tilman (ecology, evolution and behavior) was elected a foreign member of the Royal Society of London. Anand Gopinath (electrical and computer engineering) was awarded the 2017 Microwave Application Award of the IEEE Microwave Theory and Techniques Society. Deborah Swackhamer was awarded the Warren A. Hall medal by the Universities Council on Water Resources.

The National Medal for Museum and Library Service was awarded to the University Libraries and the School of Nursing received the 2017 Health Professions Higher Education Excellence in Diversity Award.

## An Emphasis on Diversity and Inclusion

The University has made a strong commitment to building a workforce that reflects the diversity of its community. Increasing diversity is a top priority

of the University, and one explicitly outlined in the Twin Cities campus strategic plan. The University has created a number of initiatives to further that goal:

- **Interdepartmental collaboration:** The Office for Equity and Diversity (OED), the Office of Human Resources (OHR), and the Office of the Executive Vice President and Provost have been working together to build greater diversity among faculty and staff.
- **Increasing diversity of hiring pools:** OED and OHR are working closely with units and colleges to boost the diversity of hiring pools, especially for student-facing positions. OHR and OED are also leading a pilot program with University Services and the Office of Information Technology to diversify applicant pools for entry-level, mid-level, and leadership positions.
- **Implicit bias workshops:** OED conducts implicit bias workshops to help search committees understand inherent preconceptions and stereotypes and to prevent bias in the hiring process.
- **CLEAR initiative:** This partnership between the Executive Vice President and Provost's Office and OED seeks to attract more diverse pools of outstanding faculty. Initiatives include college- and department-specific recruiting guides, support for cluster hiring, reviewing compensation and hiring incentives to be competitive in various fields, and initiatives to strengthen department mentoring and other practices that help new faculty feel valued and supported.
- **Institute for Diversity, Equity, and Advocacy (IDEA):** IDEA is an intercollegiate effort to recruit and retain faculty of color on the Twin Cities campus by building scholarly collaborations, mentoring, and personal and professional connections across disciplines.
- **Support of diverse groups on campus:** OED and OHR financially support staff and faculty cultural affinity groups, such as the Black Faculty & Staff Association, Latino/a Faculty & Staff Association, University Women of Color, and Pride @ Work. The affinity groups help in networking and recruiting job candidates and in retaining top talent at the University.

- **Diversity recruiters:** OHR has hired three talent acquisition professionals who focus full time on finding and recruiting diverse candidates.

## Leadership Training for Faculty and Staff

The Leadership and Talent Development (LTD) department in the Office of Human Resources delivers systemwide programs based on research and best practices that are tailored to meet the needs of University faculty, staff, and human resource professionals. LTD programs increase leadership capacity and skills critical to lead at the University and to meet University, college, and departmental goals.

A primary focus for the University is faculty leadership development. LTD's yearlong College Leads program, which helps prepare faculty for future leadership roles, is unique in the Big Ten.

Equally important is supervisory development. In the first half of 2017 alone, LTD's supervisory courses drew more than 2,100 participants to webinars on subjects such as how to get the highest performance from employees, how to give constructive feedback, and how to manage teams.

Programs include:

- "Leading on All Levels," an in-person cohort program for individual contributors.
- "Supervisory Essentials," an in-person and online program on key University supervisory policies.
- "Leadership Essentials," a four-day course for supervisors to strengthen core leadership skills.
- "Supervisory Development Course," an online and on-demand course for supervisors across the University that has an average webinar attendance of 525.
- "College Leads," a cohort program for faculty that has had 101 faculty members from six colleges and two system campuses participate thus far.
- "HR Leads+," a learning community to support the professional development of human resource professionals so they can strategically support their respective areas.

Additionally, OHR offers “HR at the U,” an intensive training for human resource professionals across the University. Participants share best practices and engage in an interactive presentation and discussion with college and unit staff on a variety of human resource topics and issues.

### **Faculty and Academic Leadership Development**

Professional development opportunities and support for faculty throughout their careers are essential to fostering a workforce that is engaged, connected, thriving, and achieving. To that end, the University provides a number of programs and initiatives designed to ensure faculty and instructional staff have opportunities to learn, grow, and advance.

The **Center for Educational Innovation** is a systemwide center that supports effective delivery of instruction across the spectrum from face-to-face to massively online (MOOCs) at all levels of instruction offered at the University. The Center has three high-level goals: 1) a coordinated service model to ensure that instructional support resources support institutional priorities; 2) alignment of academic technology investments and academic priorities; and 3) clarification of the University’s strategy for curricular innovation. Center staff work with faculty and academic units to advance curricular innovation through centrally and locally funded initiatives, workshops, and consultations with faculty.

Department chairs and heads also play a critical role in establishing and nurturing a productive working environment for their faculty and staff. The University offers a comprehensive, full-year **Provost’s Leadership Program for Academic Chairs and Heads**, specifically targeting new chairs and heads and focused on mentoring faculty and staff, handling student issues, and addressing diversity and faculty life-course issues. “**Talking Heads**” is a leadership development initiative in which chairs and heads meet regularly to share best practices and learn about key leadership challenges across the University.

The University also holds workshops for chairs and heads on a wide variety of topics, including promotion and tenure, post-tenure review, and annual reviews of faculty to ensure that these leaders are knowledgeable about policies and procedures.

In addition, the University has greatly expanded its participation in the **Academic Leadership Program**, sponsored by the Big Ten Academic Alliance. Faculty participants in this program meet with a wide range of University leaders to discuss paths to leadership, roles of administrative offices, and decision-making. These meetings supplement three weekend seminars. The **Women’s Faculty Cabinet** provides leadership to improve and enrich the academic and professional environments for women faculty on the Twin Cities campus. The cabinet recommends and responds to University policies affecting women faculty and promotes the University’s efforts in recruiting, mentoring, and retaining women faculty.

## **An Employer of Choice**

The University is committed to attracting and retaining talented faculty and staff with a competitive and comprehensive compensation package, which includes salary, medical and dental benefits, disability and life insurance, flexible spending accounts, long-term care insurance, and retirement benefits; with challenging and rewarding work; with clear paths for advancement; and with a culture of health, wellness, happiness, and support.

The University strives to maintain a compensation package that is competitive with peers and labor markets, as directed by the Board of Regents. At the same time, compensation must be balanced with the University’s overall need for cost containment and efficiency. The portion of the University’s total budget spent on compensation has remained relatively stable (roughly 61 to 62 percent) since 2009.

### **Comprehensive, Affordable, and Competitive Health Benefits**

The University’s self-insured health program, UPlan, provides a full complement of medical and dental benefits, along with short-term and long-term disability coverage.

The University aggressively manages its health benefits costs by:

- self-insuring its UPlan medical and dental programs;
- negotiating with vendors for cost savings and establishing performance guarantees;

- managing pharmacy costs through a number of factors including encouraging increased generic-drug usage;
- introducing restricted-network plan options such as using care system networks as base plans and promoting its Accountable Care Organization—a low-cost, narrow-network plan emphasizing outcomes rather than fees for service; and
- promoting an award-winning wellbeing program.

Because the University has effectively managed medical costs, employee cost has remained relatively stable for four straight years. Medical and dental premiums will not increase in 2018—a significant achievement considering that the median increase planned for large employers in the Minnesota Health Action Group is five percent.

### Wellbeing Program

For more than ten years, the University has offered an extensive Wellness Program to increase the health, fitness, and well-being of its faculty and staff on all campuses. The program currently includes health assessments, fitness, health coaching, and programs to manage weight, disease, and stress. These have been very well received by employees, and the University is continually looking for ways to enhance its offerings.

In 2017, the Wellness Program was renamed the Wellbeing Program, a name change that reflects a goal to provide employees with more comprehensive options that address not just physical health but emotional, financial, and social health. The University has also selected RedBrick Health—a vendor with a strong reputation in the well-being industry—to administrate its Wellbeing Program.

By participating in the program this coming year, employees can earn points that translate into \$500 to \$750 in savings on their insurance premiums.

This past year, the program achieved these performance milestones:

- 65 percent of University employees took part in the program; 41 percent completed it.
- 41 percent of participants increased their activities over the previous year.
- 92 percent were satisfied with their health coaches.

- Employees who participated in phone health coaching saw their health risks shrink by 10.3 percent in the last program year—almost four times the rate of those who didn’t have a coach.
- The program won a Hennepin County Wellness by Design Green Award for its commitment to minimizing impact on the environment.

This program also offers a significant return on investment. The average number of health risks for University employees decreased 16.6 percent in the last eleven years, according to a report from the University’s wellness vendor. The University has seen a decrease in annual healthcare costs of \$280 per repeat program participant and \$825 per employee who participated in health coaching.

The University’s program outperforms other universities and large employers. Benchmark research conducted by the Health Enhancement Research Organization gave the University a score of 126 compared to an average score of 107 for other universities and 104 for employers with more than 5,000 employees. The criteria for scoring included strategic planning, organizational support, programs, participation strategies, and measurement and evaluation.

### Community Fund Drive

University employees believe in giving back to their community. The annual Community Fund Drive, an employee-run campaign to raise funds for local nonprofit organizations, has been a University tradition since 1931. In 2017, Twin Cities campus employees raised \$1.4 million through the drive. In the last 20 years, the University has raised more than \$20 million for worthy causes in Minnesota. The campaign works with seven nonprofit federations representing nearly 500 organizations: the Greater Twin Cities United Way, Community Health Charities of Minnesota, Open Your Heart to the Hungry and Homeless, United Negro College Fund, Minnesota Environmental Fund, Community Shares Minnesota, and the University of Minnesota Foundation. Giving back is itself a component of well-being. Recent research has found that the simple act of donating money or volunteering enhances personal well-being and can lead to improved psychological and physical health.



# Operational Excellence: Organization

Stewarding an outstanding organization that is responsible with resources, dedicated to measuring and improving performance, and aligned to support the University's core missions of teaching, research, and outreach.

## A Productive, Efficient Organization

The University's mission is delivered through its people and its space. After people, the construction, operation, and maintenance of the University's campuses represents the next largest share of University spending. Exceptional faculty and staff are free to do their best work when the campus is safe, the facilities are optimized, and operational efficiencies maximize resources available for direct mission. Stewarding the investments made by generations of students and their families—as well as state lawmakers, citizens, and donors—is a responsibility that University leaders take very seriously.

### Finance and Operations Restructuring

In 2016, the University aligned the four major operational units (Finance, Information Technology, Human Resources, and University Services) under a new position of Senior Vice President for Finance and Operations (SVP). As the University's chief financial officer and chief operating officer, the SVP leads the strategic financial and operational management of the institution. This meets the University's desire to have an effective, efficient, and fully integrated administrative infrastructure in support of the institution's academic, research, and outreach mission. Further alignment and integration of these units is being evaluated and planned for in the future.

### Lower Debt Financing Costs

The University has successfully reduced the cost of debt financing in several ways. Recently, the University refinanced \$306.2 million of existing tax-exempt and taxable debt to take advantage of lower interest rates. The University will spend \$28.6 million less than originally anticipated over the remaining life of the refinanced bonds, which translates to lower total costs to the University. The University also issued an additional \$117.1 million of new tax-exempt debt. The weighted average interest rate obtained for the refinanced and new debt was 2.754 percent.

Additionally, the University is expanding its short-term borrowing capabilities by increasing the current commercial paper (CP) program to a maximum size of \$400 million. This will allow the University to

borrow short-term funds for capital projects during the construction period at very low short-term CP rates, which will lower future capital financing costs on capital projects. And because the University will be able to use CP rather than spend University cash during construction, the University will also marginally increase investment earnings due to the larger cash balances available for investment.

### Cost Savings on Property Insurance

The University rebid its property insurance program, which for many years was under the Midwest Higher Education Compact's Master Property Program, to determine if commercially purchased insurance would provide savings or other advantages to the University. It was determined that commercially purchased insurance would be in the University's best interest, and the change went into effect for fiscal year 2017. Highlights of the new insurance program:

- Annual premium savings for fiscal year 2017 of \$800,000 to \$1,100,000, compared to MHEC's announced premiums for fiscal year 2017.
- A guarantee of flat premium rates for the three-year contract (rates are measured in cost-per-\$100 of insured property value). Premiums will only be adjusted for changes in property values.
- An additional five percent discount was guaranteed for fiscal year 2018 premiums, as an incentive for signing the fiscal year 2017 contract prior to the start of the year. This credit should offset much of next year's expected valuation increases.
- An increase in overall property coverage, from \$1.75 billion to \$2 billion, within this premium structure.
- A more advantageous deductible structure, which should save the University several hundred thousand dollars in years that have adverse claims experience.

### Bond Rating

In connection with the September 2017 bond issuance, the University received ratings (**Progress Card Measure**) from Moody's Investors Service (Moody's) and S&P Global Services (S&P), as follows:

- Moody's—Aa1, with stable outlook
  - The Aa1 rating reflects the University's

excellent strategic positioning reflecting in strong student and research market positions and ample balance sheet reserves. The stable rating outlook reflects continued favorable student demand and research trends, growing tuition revenue, stable to improving operating cash flow and debt service coverage despite additional debt plans.

- S&P—AA, with stable outlook
  - The AA rating reflects their view of the University’s 1) position as Minnesota’s flagship research university and land-grant institution; 2) stable enrollment with rising freshman applicants and matriculants; 3) improved financial performance on an adjusted full-accrual basis; 4) manageable pro forma maximum annual debt service burden; and 5) favorable philanthropic support.
  - The stable outlook reflects their continued view that over the next two years, enrollment and demand trends will remain firm and its financial operating performance on an adjusted full-accrual basis will remain positive and become more robust.

### Reallocation of Administrative Costs

The University internally reallocates resources to fund investments in higher priorities through its annual budgeting process. As a part of this work, President Kaler announced a goal to reallocate \$90 million in administrative expenses over six years beginning in fiscal year 2014 (**Progress Card Measure**). To make the goal measurable, the University became the first among its peer research universities to track job categories and other operating costs to establish a measurable definition of annual “administrative costs.” As measured through the Cost Benchmarking Analysis, administrative costs consist of the annual combined costs for Leadership and Oversight; and Mission Support (staff and operating costs) and Facilities. From fiscal year 2014 through fiscal year 2018, the University reallocated \$79.1 million in administrative expenses (implemented and approved reallocations). To reach the \$90 million goal, the University plans to reallocate the final \$10.9 million in fiscal year 2019. Because of the University’s work to reduce costs and reinvest those dollars internally, the University has avoided or reduced costs to students

and taxpayers. Over the last six years, tuition at the Twin Cities campus for Minnesota residents went up an annual average of just 1.2 percent. For the four campuses in greater Minnesota, the annual average tuition increase was just 0.5 percent.

### Enhanced Tools for Financial Analysis and Monitoring

Over the past several years, the University finance unit has developed several enhanced tools for analysis and monitoring of financial activity.

#### *Cost Benchmarking*

An analysis that categorizes total University expenditures each fiscal year into one of four groups: Direct Mission, Student Aid, Mission Support & Facilities, and Leadership and Oversight. This analysis identifies personnel and non-personnel spending in each of these categories at the total University level and at the individual unit level, providing an understanding of how spending changes over time and the different spending profiles of the units. This analysis is also used to define and understand what is driving “administrative costs” (broadly defined as anything in the Mission Support & Facilities and the Leadership & Oversight categories) and to monitor this spending as a percent of the total over time. The management goal is to keep administrative costs down as a percent of the total and to focus new spending as much as possible in the direct mission category (**Progress Card Measure**).

#### *Cost of Mission*

An analysis that allocates 100 percent of University expenditures into the mission categories of Instruction, Research, and Public Service (auxiliary and student aid expenditures are identified separately) and then identifies which revenue sources support each of those missions. This is done at the all-University level and the unit level to provide a different perspective on the budget. Secondary or more specific levels of analysis flowing from this include the calculation of what each Twin Cities college or system campus is spending on instruction, what types of costs are driving that level of spending (which are unique to each college or campus), and what revenue sources are available to the different colleges and campuses to support instruction, research, and public service work.

### *Structural Imbalance Review*

A new tool that the University is implementing to help predict and track structural imbalances in unit budgets. As part of the regular budget process, each unit's balances and annual revenues and expenditures will be reviewed in a new way that helps identify situations in which recurring revenues are less than recurring expenditures. For units appearing to have such imbalances, staff will focus on identifying the unit's specific budget challenges and solutions.

### **Enterprise Asset Management**

Maintaining and supporting the University's physical assets (**Progress Card Measure**) is the second largest cost (after compensation). Good information and workflow management are key to the optimal management of space allocation and utilization, capital planning and project management, leases and real estate, maintenance, and custodial work. To meet the continuing challenge of tighter budgets, caring for more complex facilities, and integrating information for use by the greater University community, the University is implementing an Enterprise Asset Management system. The new system will replace dozens of unique and disconnected systems to better provide integrated and complete data to support meaningful decision-making about the lifecycle of physical assets (land, space, facilities, and equipment). The system will also provide the platform to manage the physical assets of the University in a way that supports excellence in learning, discovery, and outreach and a positive campus experience for the next ten years.

### **Diversifying the Twin Cities Campus Energy Portfolio**

In fiscal year 2017, the Twin Cities campus entered long-term contracts for renewable energy resources. These contracts advance the University's goal of reducing greenhouse gas emissions by 50 percent by 2020 to mitigate climate change (**Progress Card Measure**). By producing its own energy at the new combined heating and power plant, purchasing solar power from community solar gardens, and signing on for the utility company's renewable energy program, the Twin Cities campus will have transitioned from 93 percent utility-provided power in 2013 to just 36 percent in 2018. Together, this diversification reduces emissions by thousands of metric tons and will

materially reduce increases in operating costs into the future. It also diversifies the University's electric utility portfolio, which reduces institutional exposure to financial risk and volatility in the utility sector.

### **Meeting Student Demand for Housing**

The Twin Cities campus undergraduate enrollment strategy calls for growth to between 31,000 and 32,000 students, with 90 percent of first-year students, 25 percent of second-year students, and 10 percent of incoming transfer students to be living in University-managed housing. To support this strategy, the University has undertaken a major project to provide sufficient residence hall capacity for all first-year students who apply by the May 1 deadline. One component, the complete renovation of historic Pioneer Hall, is under way. In addition to addressing the largest facility need in the University's housing portfolio, the project will also raise the standard for student experience and provide for operational efficiencies by consolidating dining on the Superblock. A second component involves master leasing privately built apartment facilities in desirable locations. New beds at both Keeler Apartments (across from the 17th Avenue residence hall and dining center) and Radius on 15th (across from the under-construction Athletes' Village) entered University inventory this fall. These proved popular with students, as indicated by occupancy near capacity—only 13 beds vacant out of approximately 930 available. These facilities also enabled Housing and Residential Life to partner with Intercollegiate Athletics to ensure all first-year student-athletes live in University housing that supports their academic and athletic success.

### **Advancements in Information Technology**

#### *Academic Technology*

In the past year, there has been a transition from the University's legacy course management system (Moodle) to Canvas, a state-of-the-art platform, enabling instructors greater access to licensed, library-provided, open education resource, and self-created course content and analytics. All of this contributes to the institution's understanding of how students learn in a digital classroom. The transition to Canvas is part of the University's membership in the Unizin consortium, a group of universities, including eight Big Ten institutions, that collaborate and share

resources to adapt to the ever-changing digital learning landscape and incorporate new education technologies into their existing teaching and learning strategies.

#### *Technology Purchases*

The Office of Information Technology (OIT) leads a cross-functional review group that provides technology staff assistance to the University's distributed competitive purchasing process. This review ensures that needs are met and that solutions are interoperable with the University's ecosystem of information technology tools and infrastructure. In addition, as the group has a broad understanding of IT tools and infrastructure already available within the University, it helps units to avoid unnecessary duplication in IT purchases.

#### *Two-Factor Authentication*

Over the past year, OIT has offered the option of two-factor authentication to faculty, staff, and students. The University's security profile has been improved and enhanced by the use of a higher level of authentication for direct deposit, W2, and other information that could result in identity theft.

#### *Network and Cybersecurity Upgrade*

An upgrade and modernization of the University's legacy network (which was last upgraded in 2004) and cybersecurity tools is under way, which will increase speed and capacity ten-fold, and employ threat-monitoring, log management, denial of service, and firewall technologies.

# APPENDIX A: KEY DATA SOURCES AND WEB LINKS

## Key Data Sources

Association of American Universities Data Exchange	<a href="http://aaude.org">aaude.org</a>
Association of American Universities	<a href="http://www.aau.edu">www.aau.edu</a>
Association of Research Libraries	<a href="http://www.arl.org">www.arl.org</a>
Institute of International Education	<a href="http://www.iie.org">www.iie.org</a>
National Center for Education Statistics	<a href="http://nces.ed.gov/ipeds">nces.ed.gov/ipeds</a>
National Institutes of Health	<a href="http://www.nih.gov">www.nih.gov</a>
National Research Council	<a href="http://www.nationalacademies.org/nrc">www.nationalacademies.org/nrc</a>
National Science Foundation	<a href="http://www.nsf.gov">www.nsf.gov</a>

## University of Minnesota Campuses and Strategic Planning

Systemwide Strategic Vision	<a href="http://president.umn.edu/strategic-vision/system-wide">president.umn.edu/strategic-vision/system-wide</a>
Twin Cities Campus	<a href="http://twin-cities.umn.edu">twin-cities.umn.edu</a>
Strategic Plan	<a href="http://strategic-planning.umn.edu">strategic-planning.umn.edu</a>
Duluth Campus	<a href="http://d.umn.edu">d.umn.edu</a>
Strategic Plan	<a href="http://d.umn.edu/strategic-planning">d.umn.edu/strategic-planning</a>
Morris Campus	<a href="http://morris.umn.edu">morris.umn.edu</a>
Strategic Plan	<a href="http://digitalcommons.morris.umn.edu/camp_doc/11">digitalcommons.morris.umn.edu/camp_doc/11</a>
Crookston Campus	<a href="http://crk.umn.edu">crk.umn.edu</a>
Strategic Plan	<a href="http://crk.umn.edu/strategic-planning">crk.umn.edu/strategic-planning</a>
Rochester Campus	<a href="http://r.umn.edu">r.umn.edu</a>

## University of Minnesota Administrative and Academic Units

Academic Health Center	<a href="http://health.umn.edu">health.umn.edu</a>
Board of Regents	<a href="http://regents.umn.edu">regents.umn.edu</a>
Controller's Office	<a href="http://controller.umn.edu">controller.umn.edu</a>
Global Programs & Strategy Alliance	<a href="http://global.umn.edu">global.umn.edu</a>
Graduate School	<a href="http://grad.umn.edu">grad.umn.edu</a>
Office for Equity and Diversity	<a href="http://diversity.umn.edu">diversity.umn.edu</a>
Office for Public Engagement	<a href="http://engagement.umn.edu">engagement.umn.edu</a>

## University of Minnesota Links, Continued

Office for Student Affairs	<a href="http://osa.umn.edu">osa.umn.edu</a>
Office of Budget and Finance	<a href="http://finance.umn.edu">finance.umn.edu</a>
Office of the Executive Vice President and Provost	<a href="http://provost.umn.edu">provost.umn.edu</a>
Office of Institutional Research	<a href="http://oir.umn.edu">oir.umn.edu</a>
Office of the President	<a href="http://president.umn.edu">president.umn.edu</a>
Office of University Relations	<a href="http://university-relations.umn.edu">university-relations.umn.edu</a>
Office of Vice President for Research	<a href="http://research.umn.edu">research.umn.edu</a>
Research and Outreach Centers	
North Central Center at Grand Rapids	<a href="http://ncroc.cfans.umn.edu">ncroc.cfans.umn.edu</a>
Northwest Center at Crookston	<a href="http://nwroc.umn.edu">nwroc.umn.edu</a>
Southern Center at Waseca	<a href="http://sroc.cfans.umn.edu">sroc.cfans.umn.edu</a>
Southwest Center at Lamberton	<a href="http://swroc.cfans.umn.edu">swroc.cfans.umn.edu</a>
UMore Park at Rosemount	<a href="http://www.umorepark.umn.edu">www.umorepark.umn.edu</a>
Robert J. Jones Urban Research and Outreach-Engagement Center	<a href="http://uroc.umn.edu">uroc.umn.edu</a>
West Central Center at Morris	<a href="http://wcroc.cfans.umn.edu">wcroc.cfans.umn.edu</a>
University Libraries	<a href="http://lib.umn.edu">lib.umn.edu</a>
University of Minnesota Alumni Association	<a href="http://umnalumni.org">umnalumni.org</a>
University of Minnesota Extension	<a href="http://extension.umn.edu">extension.umn.edu</a>
University of Minnesota Foundation	<a href="http://give.umn.edu">give.umn.edu</a>

# APPENDIX B: BOARD OF REGENTS

**Honorable David J. McMillan, Chair**

Congressional District 8  
Elected in 2011, 2017  
Term expires in 2023

**Honorable Kendall J. Powell, Vice Chair**

At-Large Representative  
Elected in 2017  
Term expires in 2023

**Honorable Thomas J. Anderson**

Congressional District 7  
Elected in 2015  
Term expires in 2021

**Honorable Richard B. Beeson**

Congressional District 4  
Elected in 2009, 2015  
Term expires in 2021

**Honorable Linda A. Cohen**

At-Large Representative  
Elected in 2007, 2013  
Term expires in 2019

**Honorable Michael D. Hsu**

Congressional District 6  
Elected in 2015  
Term expires in 2021

**Honorable Dean E. Johnson**

At-Large Representative  
Elected in 2007, 2013  
Term expires in 2019

**Honorable Peggy E. Lucas**

Congressional District 5  
Elected in 2013  
Term expires in 2019

**Honorable Abdul M. Omari**

At-Large Representative  
Elected in 2013  
Term expires in 2019

**Honorable Darrin M. Roshia**

Congressional District 3  
Elected in 1989, 2015, 2017  
Term expires in 2023

**Honorable Patricia S. Simmons**

Congressional District 1  
Elected in 2003, 2009, 2015  
Term expires in 2021

**Honorable Steven A. Sviggum**

Congressional District 2  
Elected in 2011, 2017  
Term expires in 2023

**Brian Steeves**

Executive Director and Corporate Secretary  
600 McNamara Alumni Center  
200 Oak Street S.E.  
University of Minnesota  
Minneapolis, MN 55455

# APPENDIX C:

## Senior Leadership

Eric W. Kaler	President
Karen Hanson	Executive Vice President and Provost
Mike Berthelsen	Vice President for University Services
Kathryn Brown	Vice President for Human Resources
Brian Burnett	Senior Vice President for Finance and Operations
Mark Coyle	Athletics Director
Michael Goh	Interim Vice President for Equity and Diversity
Bernard Gulachek	Vice President and Chief Information Officer
Gail Klatt	Associate Vice President for Internal Audits
Matt Kramer	Vice President for University Relations
Boyd Kumher	Chief Compliance Officer
Allen Levine	Vice President for Research
Lisa Lewis	President and CEO of the University of Minnesota Alumni Association
Doug Peterson	General Counsel
Kathleen Schmidlkofer	President and CEO of the University of Minnesota Foundation
Jon Steadland	Chief of Staff to the President
Jakub Tolar	Dean of Medical School and Interim Vice President for Health Sciences
Michelle Behr	Chancellor, University of Minnesota Morris
Lendley Black	Chancellor, University of Minnesota Duluth
Lori J. Carrell	Interim Chancellor, University of Minnesota Rochester
Mary Holz-Clause	Chancellor, University of Minnesota Crookston

# APPENDIX D:

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# APPENDIX E:

# Progress Card Measures

# Definitions

## GOLD MEASURES

### Measure

4- and 6-year graduation rates, by campus

### Definition/Discussion

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

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

### Measure

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

### Definition/Discussion

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

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

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

### Measure

Twin Cities entering freshman average ACT

**Definition/Discussion**

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

A long-time measure of the academic preparedness of the incoming class, the average ACT score of the freshman class has been rising steadily, from 24.8 in 2003 to 28.4 in 2017. However, given state demographics, natural limits, and the desire to meet multiple goals for the incoming class (including access for students across Minnesota, students of color, and students from diverse socio-economic backgrounds), it is unlikely that the University will see or desire a significant increase in this measure in the near future.

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

**Measure**

Institutional gift aid (system)

**Definition/Discussion**

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

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

**Measure**

R&D expenditures (Twin Cities)

**Definition/Discussion**

The total dollar amount of research and development expenditures defined and collected annually by the National Science Foundation through the Higher Education Research & Development Survey. All institutions expending at least \$150,000 on R&D in the fiscal year are surveyed, and the data is comprehensive of all sources of R&D expenditures.

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

**Measure**

Medical School ranking (Twin Cities/Duluth)

**Definition/Discussion**

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

Medical school rankings have traditionally been based on National Institutes of Health (NIH) awards to U.S. medical schools in a given year. In 2016, the University of Minnesota's medical school received \$132 million in NIH awards and ranked 34th in the country. In 2016 the University of California – San Francisco Medical Center was the top-ranked school in the country, with \$519 million in NIH awards. Minnesota ranked 4th in the Big Ten, behind Michigan (11th), Northwestern (17th), and Wisconsin (25th). The Mayo Clinic in Rochester was 19th in the country in NIH funding in 2016.

Former Senior Vice President and Dean of the Medical School Brooks Jackson stated the desire to return to being a “Top 20” medical school. The 20th-ranked school in 2016, the Baylor College of Medicine, had \$210 million in NIH awards, so achieving that ranking is an ambitious goal over a relatively short time period.

### **Measure**

Faculty awards (Twin Cities)

### **Definition/Discussion**

The number of prestigious national awards received by faculty in the arts, humanities, sciences, engineering, and health fields and the institutional ranking based on those awards as measured annually by the Center for Measuring University Performance (MUP) at Arizona State University.

The MUP analyzes and ranks research universities in nine different areas, including the number of prestigious national faculty awards. The 24 awards included in their analysis range from the Guggenheim Fellowships, MacArthur Foundation Fellowships, and National Humanities Center Fellowships to the NSF CAREER awards.

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

### **Measure**

Participation in the employee engagement survey (system)

### **Definition/Discussion**

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

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

### **Measure**

Operational excellence (system)

### **Definition/Discussion**

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

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

# MAROON MEASURES

## Measure

Twin Cities transfer student 3-year graduation rate

## Definition/Discussion

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

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

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

## Measure

Graduate and professional degrees awarded (Twin Cities/Duluth)

## Definition/Discussion

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

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

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

## Measure

Median undergraduate debt at graduation (system)

## Definition/Discussion

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

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

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

**Measure**

Students of color with a favorable sense of belonging on campus (Twin Cities)

**Definition/Discussion**

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

The University’s goal is to improve the campus climate and sense of campus belonging for all students. The goal for this measure is to have the student of color favorable sense of belonging metric match the aggregate response of international students, white students, and students of unknown race/ethnicity.

**Measure**

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

**Definition**

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

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

**Measure**

Percent of recent Minnesota high school graduates choosing a Minnesota college who enroll at the University (system)

**Definition**

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

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

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

**Measure**

Enrollment in health science specialties with shortages (Nursing, Pharmacy, Dentistry) (Twin Cities/Duluth/Rochester)

**Definition/Discussion**

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

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

**Measure**

Total enrollment in the AHC schools and Center for Allied Health (Twin Cities/Duluth/Rochester)

**Definition/Discussion**

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

In keeping with the goals of the AHC's strategic plans and recommendations from the Governor's blue-ribbon committee on the medical school, expanding access to health education across the AHC is a key component in returning to national leadership in healthcare training, research, and care. In addition to the state-level demand for healthcare workers identified in the preceding measure, expanding enrollments across the AHC addresses the growing needs for doctors and other health professionals across a wide variety of in-demand specialties at the state and national levels. The University proposes to increase enrollments to above 6,350 students, an increase of over 156 students.

**Measure**

National public research university ranking (Twin Cities)

**Definition/Discussion**

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

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

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

**Measure**

Minnesota intellectual property agreements (system)

**Definition/Discussion**

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

Over the past few years, the University has prioritized making it easier for businesses to partner with the University to transform discoveries into innovative solutions. MN-IP is designed to improve access to University-

developed technology while reducing the risk and cost associated with licensing intellectual property (IP) and sponsoring research. Programs to help both create and license University IP have been developed, and increasing the number of agreements is an important policy direction.

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

**Measure**

Public service expenditures (system)

**Definition/Discussion**

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

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

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

**Measure**

Average citations per faculty member (Twin Cities)

**Definition/Discussion**

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

There are several different services for faculty citation counts, none of which are comprehensive. The University discontinued its contract in 2017 with Academic Analytics and is currently studying other data options, including potential metrics using SciVal, a bibliometric data source currently under review for use across campus, including by the University Libraries and Faculty and Academic Affairs, through a one-year pilot study. The University proposes further discussion of this measure over the coming months.

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

**Measure**

National scholarship awards to students (system)

**Definition/Discussion**

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

These awards represent a wide variety of fields and expertise and are some of the most prestigious student awards

in the world. Any given year can be quite variable in the number of awards our students apply for and receive; additionally, many of these leading awards have limitations based on location of the students' institution or home residence.

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

**Measure**

Spending on leadership and oversight vs. mission and mission support (system)

**Definition/Discussion**

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

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

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

**Measure**

University square feet considered in "poor" or "critical" condition (system)

**Definition/Discussion**

The number of gross square feet of University facilities systemwide rated through the Facilities Condition Assessment as being in "poor" or "critical" condition.

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

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

**Measure**

Sustainability – metric tons of greenhouse gasses (system)

**Definition/Discussion**

The number of metric tons of greenhouse gasses produced annually across the University system.

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

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

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

**Measure**

University credit rating (system)

**Definition/Discussion**

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

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

**Measure**

Athletics graduation success rate (GSR) (Twin Cities)

**Definition/Discussion**

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

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

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

UNIVERSITY OF MINNESOTA  
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The University's mission, carried out on multiple campuses and throughout the state, is threefold: research and discovery; teaching and learning; and outreach and public service.



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** Board of Regents Policy: *Student Conduct Code* (Student Group Jurisdiction)

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

*This is a report required by Board policy.*

**PRESENTER:** Brian Slovut, Deputy General Counsel

### **PURPOSE & KEY POINTS**

The purpose of this item is action on proposed amendments to Board of Regents Policy: *Student Conduct Code* related to student group jurisdiction. Since the Board reviewed the proposed amendments in December, the Administration sought and received comments from University stakeholders.

The Office of the General Counsel recommends the following amendments for consideration:

### **Proposed Modifications to the *Student Conduct Code***

Currently, the *Student Conduct Code*, Section VII, Jurisdiction, provides as follows with respect to student groups:

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

The proposed modification of the *Student Conduct Code* is to replace this language with the following:

**Subd. 4.** Subject also to the other subdivisions of this section, a student group may be held responsible for violation of any of the Disciplinary Offenses listed in Section IV of the Student Conduct Code based on the conduct of its individual members if

- (a) The student group directed, sponsored, or endorsed the conduct that violated the Student Conduct Code; or
- (b) Any officer or officers of the student group knew or reasonably should have known the conduct that violated the Student Conduct Code was likely to occur during or directly related to an activity or event conducted by the student group and the officer or officers failed to take appropriate steps to prevent the conduct.

## **BACKGROUND INFORMATION**

At its October 2017 meeting, the Board directed the Office of the President and the Office of the General Counsel to propose a new standard for student group responsibility for violations of the *Student Conduct Code*. The Board reviewed the proposed amendments at the December 2017 meeting.

## **PRESIDENT'S RECOMMENDATION**

The President recommends approval of proposed amendments to Board of Regents Policy: *Student Conduct Code*.



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**STUDENT CONDUCT CODE**

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**Technical Change:** July 8, 2015

**Supersedes:** (see end of policy)

**DRAFT for Action**

**STUDENT CONDUCT CODE**

**SECTION I. SCOPE.**

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

**SECTION II. GUIDING PRINCIPLES.**

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

**SECTION III. DEFINITIONS.**

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

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



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

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

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

**Subd. 4. Student.** *Student* shall mean any person taking courses at the University or enrolled in a University program; any person participating as a student in University activities prior to the start of classes; any student who is not enrolled or registered for a particular term but has a continuing relationship with the University; any student who withdraws, transfers, or graduates after an alleged violation of the Student Conduct Code; and any already graduated student when the conduct at issue implicates the student's University degree.

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

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

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

<sup>1</sup> Portions used with permission from New York Institute of Technology and University of Texas, San Antonio.



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medical assistance and up to two students acting in concert with the student initiating contact with a 911 operator shall also be immune from disciplinary sanctions.

**Subd. 8. Assists or Abets.** A student or student group assists or abets prohibited conduct when the student or student group: (a) helps any other person engage in misconduct as defined by the Student Conduct Code; and (b) intends the misconduct to occur or knows that their actions are significantly likely to help the other person to engage in the misconduct.

**SECTION IV. DISCIPLINARY OFFENSES.**

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

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

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

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

**Subd. 4. Refusal to Identify and Comply.** Refusal to identify and comply means willfully refusing to or falsely identifying one's self or willfully failing to comply with a proper order or summons when requested by law enforcement personnel, by emergency medical staff responding to an emergency, or by a University employee acting within the purview of his or her job responsibilities.

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

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



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

**Subd. 8. Sexual Misconduct.** These disciplinary offenses are defined in Board of Regents Policy: *Sexual Harassment, Sexual Assault, Stalking and Relationship Violence* and the related administrative policy.

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

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

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

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

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

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

**Subd. 15. Unauthorized Access.** Unauthorized access means accessing without authorization University property, facilities, services, or information systems, or obtaining or providing to another person the means of such unauthorized access, including, but not limited to, using or providing without authorization keys, access cards, or access codes.

**Subd. 16. Disruptive Behavior.** Disruptive behavior means willfully disrupting University events; participating in a campus demonstration that disrupts the normal operations of the University and infringes on the rights of other individuals; leading or inciting others to disrupt scheduled or normal activities of the University; engaging in intentional obstruction that interferes with freedom of movement, either pedestrian or vehicular, on campus; using sound amplification equipment on campus



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without authorization; or making or causing noise, regardless of the means, that disturbs authorized University activities or functions.

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

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

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

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

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

**SECTION V. SANCTIONS.**

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

The University seeks to provide a safe, secure, and healthy environment for all students. Recognizing that the potential application of disciplinary sanctions could deter students from seeking medical attention for themselves or others, the University will provide medical amnesty as defined in Section III, Subd. 7. However, a student requiring emergency evaluation or treatment at a medical facility may be required to complete an alcohol assessment or education program. This is not considered a disciplinary response. Amnesty is granted only for violations of Section IV, Subd. 11, and does not apply to other possible violations of the Student Conduct Code (e.g., property damage or assault) which may



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have occurred during the time of intoxication. In circumstances involving a student group, the willingness of the student group's members to seek medical assistance for a member or a guest will be viewed as a mitigating factor in the review process for any possible violations.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**SECTION VI. INTERIM SUSPENSION.**



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Academic

**STUDENT CONDUCT CODE**

**Adopted:** July 10, 1970

**Amended:** December 13, 1974; March 11, 1994;  
June 13, 2003; December 8, 2006; October 12, 2012;  
June 10, 2016; October 13, 2017

**Technical Change:** July 8, 2015

**Supersedes:** (see end of policy)

**DRAFT for Action**

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

**SECTION VII. HEARING AND APPEALS OF STUDENT DISCIPLINE.**

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

- (a) notification of the report and a request to meet;
- (b) an informal meeting to learn more about the steps of the disciplinary process and to share information related to the incident;
- (c) if the student or student group is found responsible, a proposal of an informal resolution that includes the findings and disciplinary sanctions being offered to resolve the incident;
- (d) if the informal resolution is not accepted, a request for a formal hearing in which a panel will determine responsibility and potential sanctions; and
- (e) if the formal resolution is not accepted, a request for an appeal.

In exceptional circumstances where the University determines that an informal resolution is not appropriate, a student's responsibility will be decided through a formal hearing in which a panel will determine responsibility and possible sanctions. In regard to sexual misconduct cases, both the reporting party and the accused student have the opportunity to request a formal hearing and appeal as part of due process.

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

The appeals procedure must describe:

- (a) grounds for an appeal;
- (b) procedures for filing an appeal; and



**UNIVERSITY OF MINNESOTA  
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**Supersedes:** (see end of policy)

**DRAFT for Action**

(c) the nature of an appellate review.

**SECTION VIII. JURISDICTION.**

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

**Subd. 2.** The Student Conduct Code shall apply to student and student group conduct that directly relates to the University’s education, services, programs, or rules, including but not limited to scholastic dishonesty, hazing, violation of University rules, and falsification, whether the conduct occurs on campus or off campus.

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

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

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

Subject also to the other subdivisions of this section, a student group may be held responsible for violation of any of the Disciplinary Offenses listed in Section IV of the Student Conduct Code based on the conduct of its individual members if

- (a) The student group directed, sponsored, or endorsed the conduct that violated the Student Conduct Code; or
- (b) Any officer or officers of the student group knew or reasonably should have known the conduct that violated the Student Conduct Code was likely to occur during or directly related to an activity or event conducted by the student group and the officer or officers failed to take appropriate steps to prevent the conduct.

**SECTION IX. THE RESPONSIBILITIES OF DUAL MEMBERSHIP.**

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



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**DRAFT for Action**

criminal charges arising out of the same facts were dismissed, reduced, or resolved in favor of the criminal law defendant.

**SECTION X. DELEGATION OF AUTHORITY.**

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

**Supersedes:** Existing Disciplinary Appeals Policies in Contradiction and Specifically Repeals the Appeals Policies dated February 9, 1979.



# BOARD OF REGENTS DOCKET ITEM SUMMARY

**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** Progress Report and Implementation Plan for President’s Initiative to Prevent Sexual Misconduct

Review                       Review + Action                       Action                       Discussion

*This is a report required by Board policy.*

**PRESENTERS:** President Eric W. Kaler  
John Finnegan, Dean, School of Public Health

### **PURPOSE & KEY POINTS**

The purpose of this item is:

- An update on the President’s Initiative to Prevent Sexual Misconduct (Initiative). Led by John Finnegan, Dean of the School of Public Health, and Karen Miksch, Associate Professor in the College of Education and Human Development, the Initiative envisions a University that promotes a culture of health and wellness in relationships; commitment to the welfare of others; protection of human rights and due process; and a University community that is safe and free from sexual harassment, sexual violence, and misconduct. The Initiative is engaged with system leaders and is hosting a system-wide conference on March 6 to deepen this collaboration.
- Submission of the administration’s response to the Joint Report and Recommendations on Title IX and Athletic Discipline Practices, in keeping with the Board’s September 2017 resolution.

### **BACKGROUND INFORMATION**

At its September 2017 meeting, the Board received the Joint Report and Recommendations on Title IX and Athletic Discipline Practices, and charged President Kaler with reviewing and evaluating the recommendations and developing a plan to implement changes where appropriate. The Board further charged the President with reporting to the Board on progress and implementation plans no later than February 2018.

On May 8, 2017 President Kaler charged School of Public Health Dean John Finnegan with leading a comprehensive, collaborative, long-term effort to prevent sexual misconduct on University campuses. On October 1, 2017, Finnegan submitted a report outlining the organization and goals of the President’s Initiative to Prevent Sexual Misconduct, which the president endorsed.

## President's Initiative to Prevent Sexual Misconduct (Update 1-8-2018)

### *Creating a Climate of Respect at the University of Minnesota to Prevent Sexual Misconduct*

Workgroup	Aims	Progress
<p><b>Faculty/Staff Training</b></p> <p><b>Phase I: Faculty/Staff required training (Everfi)</b></p> <p><i><b>Goal:</b> To increase awareness and knowledge to change UMN culture to one that does not tolerate sexual misconduct and supports any victim to safely report.</i></p>	<p><b>#1: Implement the Everfi training on the University platform beginning in February 2018 and completed by June 30, 2018 systemwide.</b></p>	<ul style="list-style-type: none"> <li>● Final module modifications to Everfi December 2017</li> <li>● Communication plan developed for systemwide implementation</li> <li>● Developed phased implementation plan across the University system and overseen by OIT and OHR</li> </ul>
<p><b>Faculty/Staff Training</b></p> <p><b>Phase II: Department Level Development</b></p> <p><i><b>Goal:</b> To support academic units in developing respectful cultures that promote individual and departmental achievement.</i></p>	<p><b>#1: Create networks and resources to help academic units prevent and respond appropriately to sexual misconduct.</b></p>	<ul style="list-style-type: none"> <li>● Beginning to outline areas of resources, to include assessment, education, and policies and practices to promote accountability/responsibility.</li> <li>● Reviewing membership for committee participation invitation</li> </ul>
<p><b>Public Health Awareness Campaign</b></p> <p><i><b>Goal:</b> To create a sustainable public health/public awareness campaign to prevent sexual misconduct.</i></p>	<p><b>#1: Evaluate existing campaigns nationwide that meet public health/public awareness criteria</b></p>	<ul style="list-style-type: none"> <li>● Evaluation of national campaigns was completed in September of 2017 <ul style="list-style-type: none"> <li>○ The criteria for evaluation of the campaigns included an implicit call to action, easily customized for a wide audience and interventions, can be modified for awareness and an implicit call to action, based on best practice theories of behavior change and can be used over multiple years.</li> </ul> </li> </ul>

	<p><b>#2 Determine applicability of existing campaigns to UMN and recommend model for UMN campaign</b></p>	<ul style="list-style-type: none"> <li>●Marketing firm has been hired to help create and test four different concepts for the public awareness campaign.</li> <li>◦Four concepts have been developed and recruitment is underway for focus groups for initial testing of the concepts.</li> <li>◦Focus group information will be used to create and implement a larger scale survey to determine responses based on different audience to the proposed campaign.</li> <li>◦The concepts include existing and new campaigns. Existing campaign is based on It's On Us; initiated out of the Obama administration.</li> </ul>
	<p><b>#3 Develop production schedule and implementation plan; budget estimate</b></p>	<ul style="list-style-type: none"> <li>●Based on the timeline and budget proposed the project is on schedule to be launched fall of 2018 and within budget.</li> </ul>
<p><b>Student Education &amp; Engagement</b></p> <p><b>Goal:</b> <i>To develop a structured program and education plan for first through fourth year undergraduates as well as graduate and professional students</i></p>	<p><b>#1: Identify and convene a cross-functional sexual assault prevention work group to inform, develop and implement a coordinated prevention programming plan.</b></p>	<ul style="list-style-type: none"> <li>●A position has been created and soon will be posted for a Health Promotion Specialist who will lead the development, implementation, management, evaluation, and institutionalization of campus-wide student engagement programs and activities to prevent sexual misconduct. This position will take the lead on convening the work group.</li> </ul>
	<p><b>#2: Require all new students to complete online sexual assault prevention training using Haven and HavenPlus.</b></p>	<ul style="list-style-type: none"> <li>●A group of campus partners will be meeting on January 31, 2018 to provide input on: <ul style="list-style-type: none"> <li>◦identifying the inclusion criteria that will be used each semester to generate a list of new students that are required to complete online sexual assault prevention training</li> <li>◦determining the most effective strategy to promote compliance with completing the course (ie; incorporating possible disincentives such as 'records hold')</li> <li>◦determining if the strategy the Twin Cities campus identifies can be used systemwide</li> </ul> </li> <li>●A plan for fall 2018 will be developed based on this input.</li> </ul>

	<p><b>#3: Develop and implement a comprehensive plan for ongoing training for students.</b></p>	<ul style="list-style-type: none"> <li>● Hire Health Promotion Specialist (Feb, 2018) who will lead the development, implementation, management, evaluation, and institutionalization of campus-wide student engagement programs and activities to prevent sexual misconduct. This position will take the lead on developing and implementing the training plan.</li> <li>● Identifying outcome objectives, comparing existing campus programming to the outcome objectives, and exploring new strategies to effectively address the outcome objectives.</li> </ul>
<p><b>Research &amp; Evaluation</b></p> <p><b>Goal:</b> <i>To develop metrics for evaluating our sexual assault and misconduct prevention, education, advocacy and awareness activities on campus</i></p>	<p><b>#1: Create inventory to establish existing data sources designed to measure components of sexual misconduct.</b></p>	<ul style="list-style-type: none"> <li>● Staff have been identified and are engaged in the cataloging process of existing University data and researchers</li> <li>● Additional data sources have been identified as potential new sources of information when analyzed</li> </ul>
	<p><b>#2: Develop framework for new metrics to be gathered and in part will fill in some of the gaps in information</b></p>	<ul style="list-style-type: none"> <li>● Additional questions have been incorporated into the College Student Health Survey (2108) to gather more information from students about sexual harassment and sexual assault</li> <li>● A new survey is being developed to evaluate the required</li> </ul>
	<p><b>#3: Create structure for coordination of information sharing for all the workgroups with special considerations for the evaluation and monitoring of the Public Awareness Campaign</b></p>	<ul style="list-style-type: none"> <li>● Several existing measurement tools will be part of the framework. As the Public Health Awareness campaign is further developed, additional metrics will be added to the framework.</li> </ul>
	<p><b>#4: Create a Research Subcommittee to facilitate coordinated efforts to access existing data and support original research.</b></p>	<ul style="list-style-type: none"> <li>● Recruiting members for cross disciplinary collaborative research during the phases of the initiative and provide access to existing and new data as it is compiled</li> <li>● Host Spring 2018 Research Consortium to showcase and discuss ongoing and future research initiatives on sexual violence/misconduct</li> </ul>
<p><b>Institutional Responsibility and Accountability</b></p> <p><b>Goal:</b> <i>To develop Institutional accountability &amp; responsibility strategies to promote a culture that is serious about prevention and accountability when individuals violate those expectations.</i></p>	<p><b>#1: In development...</b></p>	<ul style="list-style-type: none"> <li>● Development of “Town Halls” on <i>Culture Change</i> campuswide</li> <li>● Reviewing membership for committee participation invitation</li> </ul>

## **Board of Regents Meeting – February 9, 2018**

### **Administrative Response to the “The Joint Report and Recommendations on Title IX and Athletic Discipline”**

#### **Introduction**

Sexual misconduct is a serious problem throughout the nation and at the University of Minnesota. Although the University is not able to prevent every incident in our community of 90,000 people, we must prevent as much as we can and respond appropriately and effectively when an incident occurs. A great deal of work has been put into the prevention of sexual misconduct at the University, and this work has included learning from the past. In particular, the events surrounding a sexual misconduct case in the Golden Gopher Football program and related team boycott in December 2016 provide important lessons. In April 2017, the Board of Regents requested a review of the events from this period, culminating in a report on the events with a series of recommendations from external counsel, attorneys John Marti and Jillian Korblatt of Dorsey & Whitney. The document entitled “Joint Report and Recommendations on Title IX and Athletic Discipline” was formally received by the Board of Regents on September 8, 2017.

The report noted that a comprehensive agenda is necessary, as framed by the President’s Initiative to Prevent Sexual Misconduct. That initiative is well underway. Initiative Co-Chairs John Finnegan and Karen Miksch will provide an overview of its scope and progress at the February 9 Board meeting. The following is not a comprehensive report on our systemwide work, including the Initiative, to solve this nationwide problem. Rather, this serves as a summary of the administration’s response to the specific recommendations in the report.

#### **Training**

Regarding enhanced student training, the Initiative includes robust and renewed efforts to (1) self-evaluate by surveying the student body regarding its experiences and perceptions, both with respect to sexual misconduct generally and, more specifically, how complaints are handled; (2) orient and train incoming students including transfer students, with a focus on bystander training; (3) delivering the training more frequently than once a year at orientation and widening the audience to all students on campus, not just first-year students; and (4) develop a system to monitor and track student training participation and to evaluate the training provided.

#### **Resources**

The report recommended that the University examine the resources invested in this work. The administration has committed \$540,000 to fund the core components of the Initiative – these are non-renewing funds committed for the current and the next fiscal year. These funds will be re-evaluated at that point before further funding is committed. The funding allotted so far is in addition to the resources already committed to this work across campus through the Aurora Center, Student Counseling Services, Boynton Health, and the Office of Equal Opportunity and Affirmative Action, for example. Additionally, \$300,000 was committed across the University

system to ensure that the resources of money and people are sufficient to the task on our system campuses.

The Initiative endeavors to use the University's existing resources and organizational structure for this work. The administration intends to comprehensively address this issue, but does not intend to create an additional layer of bureaucracy.

### **Student Athlete Code of Conduct**

The Student-Athlete Code of Conduct has been revised, in consultation with the Office for Student Affairs, to ensure clarity in various situations, as well as consistency with the Student Conduct Code.

A thorough review of team rules will be conducted this summer (2018). A template will be available to all head coaches to ensure coordination of team rules across the department, allowing for some minor differences among the sport programs.

In the Fall of 2017, Gopher Athletics clarified the notices provided to student-athletes on rules and consequences by providing each student-athlete with a copy of (1) the Student Conduct Code, (2) the Student-Athlete Code of Conduct and (3) their individual sport program's team rules. For the first time, also in Fall 2017, team rules were added to the Jump-Forward software program, in which all of the important documents related to NCAA rules are provided to the student-athletes. Beginning in Fall 2018, student-athletes will be required to indicate that they have read all three documents before they will be "cleared to participate." These three documents also will be highlighted in the Lindahl Academic Center for Student-Athletes Student-Athlete Handbook that is distributed to all student-athletes during the first week of classes in the Fall semester and the first week of classes for the mid-year enrollee. Finally, the documents will be reviewed in the Summer OUE 1086 class that is the three-credit class offered to all incoming football and basketball student-athletes. Approximately 50 student-athletes usually take the class in the Summer and 100 take it in the Fall. The Fall class is a two-credit class.

### **Athletic Suspensions**

The report recommended developing a more defined athletic suspension process. The Athletic Department completed a review and submitted the updated procedure for athletic suspensions to the Board as an information item at the December meetings. The new policy, among other things, provides more clarity when there is a harassment restraining order against an accused student.

### **Recruit Visits**

The rules and procedures around recruit visits have been improved to reflect additional control, guidance, supervision, and training, and to establish clear consequences for violations of a student-athlete's obligations as a host. Incidents contrary to guidelines published in the Official Visit Guidelines may result in a decision by the University to penalize the student-athlete up to, and including, dismissal from the team. Expectations are clearly outlined on all Student-Athlete

Host Forms provided to, and signed by, student-athletes serving as hosts to prospective student-athletes.

The Athletic Department and the coaches are collaborating to promote a culture of shared responsibility for hosting prospective student-athletes by hosting “Recruiting Meetings” for each team, once per semester, that will include all student-athletes, coaching staff members, and support staff, including the sport supervisor.

### **The Office of Equal Opportunity and Affirmative Action (EOAA)**

The Office for Equity and Diversity will institute a peer review or audit of EOAA every five years, beginning in 2021, by persons with substantial experience and knowledge of the changing landscape of Title IX and university discipline processes in peer institutions.

Several recommendations from the report were addressed in the new administrative policy that was ratified by the Board in December. These changes include characterizing EEOA’s conclusion as to whether students have violated the Student Code as “initial findings”; providing amnesty for parties and witnesses in investigations in order to encourage reporting and candid participation; and adding a new definition of “assists or abets” in both the Student Conduct Code and the new administrative policy. We are also working on new sanction guidelines that align with the new policy.

EOAA also has bolstered the notice provided to parties involved in the process. The new Administrative policy expressly provides that respondents will receive notice of the allegations against them that constitute a potential violation and with sufficient details to allow them to prepare for the initial interview.

EOAA has changed the way its reports are issued. In making these changes, the University considered: (1) the ability of both parties to thoroughly review the report with their advisor, which is a critical due process protection; and (2) our aim to promote the privacy of these matters and discourage or prevent public distribution of initial findings reports.

The University has taken two steps to promote the confidentiality of EOAA’s initial findings reports. First, we have begun including watermarks of the party’s name on the report that is being provided to the party, which may discourage parties from sharing the report with the media or others. Second, the OCS has included a new statement in the letter sent to parties, enclosing the initial findings report and proposed informal resolution, if any. The statement encourages parties to only share the initial findings report with those assisting or supporting the party in the matter.

The University is exploring the feasibility of having the interviews with parties in student sexual misconduct cases recorded as well as looking into who delivers the training to panel members. Currently both the EOAA and the OCS provide that training and it was recommended that the training be done by an outside organization. Making the best decisions about where to spend our resources impacts both of these discussions. The administration will continue to evaluate the feasibility of implementing the recommendations.

There were also a handful of recommendations that were not adopted, such as the recommendation to use the “clear and convincing” evidence standard. The administration believes the “preponderance” of evidence standard is the best standard for the institution. It is the standard applied in civil rights cases and in other administrative settings. It is also the standard applied in other student conduct matters, and it is the preferred standard recommended by all student affairs/student conduct professional associations.

Similarly, the recommendation to permit parties to respond to the factual summary portion of the initial findings report before the report is finalized, was well considered. But the University already provides parties with two opportunities to respond to EOAA’s initial findings report prior to a decision of responsibility – first, in a written rebuttal statement to the hearing panel and then again directly to the panel during the hearing. We believe that providing parties with an additional opportunity to respond to the initial findings report would be duplicative and unlikely to elicit more or better quality information. Moreover, adding this additional unnecessary layer to the process could add length and strain to the process that could ultimately deter reporting.

### **The Student Sexual Misconduct Subcommittee Hearing Process**

The Department of Education’s guidance regarding Title IX student conduct proceedings is currently in flux, and the Department has indicated that it intends to proceed through a notice-and-comment period before issuing new guidance. The University’s process currently provides robust due process protections, and also protects the rights of complainants. The administration believes that it is prudent to wait until the Department completes its notice-and-comment process and provides new guidance before considering any substantial changes to our process.

However, there is agreement that our current panel hearing process can be stressful for the parties and likely deters some reporting. The administration will continue to review the process from this perspective when the new guidance is received from the federal government.

Some measures can be considered before receiving new federal guidance. For example, following a report recommendation, the administration is considering increasing the role of the complainant’s advisor during SSMS hearings. In addition, the administration is considering whether the SSMS hearing process might be enhanced if retired judges presided over SSMS hearings. These measures, if adopted after further consideration and consultation, would potentially go into effect in Fall 2018. We are also considering what position is best suited to serve as the appellate officer.

In order to ensure that Student Conflict Resource Center advocates are appropriately trained and supported, the University is in the process of filling a new part-time lead advocate position. This new hire will be responsible for providing improved training and support for the advocates, and will also serve as an advocate for respondents in sexual misconduct cases.

The report recommended considering whether a restorative justice approach should be employed in some cases, with which a few institutions are beginning to experiment. A

restorative justice approach has the negative potential of further traumatizing a victim if not done properly, and this possibility is especially high in the more serious sexual misconduct cases. The University will evaluate the success experimental programs at other institutions are having success before developing a program here.

Another recommendation was to consider whether to permit a complainant's advisor to have a speaking role in hearings that is equivalent to the speaking role offered to the respondent's advisor. That is currently being evaluated.

In order to more carefully consider the composition of panel members to ensure diversity, the proportion of faculty and staff on the SSMS has been increased. Panel members with diverse University roles have been assigned to the panels in advance to ensure proper representation of employees and students. We also have added a statement in the SSMS procedures that each panel will have at least one non-student employee and one student. Panel members are also asked about how they can contribute to the diversity of the panel on their application to be a panelist, and there is priority given to the selection of individuals who bring diversity, broadly understood, to the panels.

In regards to ensuring that panel members are well-screened, properly trained and supported, there will be continuous honing to the content of the 20 hours of annually required training. That will ensure that panelists are properly trained and supported.

### **Communication**

The report recommended that Gopher Athletics, the Office of the President, and the Office of the Board of Regents work on our communication strategies within our offices, between our offices and with the wider University community.

The Athletics Department and the Office for Student Affairs are developing Student-Athlete Code of Conduct processes, as well as developing communication tools about how those processes interact with each other and with the criminal justice system. OSA provided feedback on the Student Athlete Code of Conduct to ensure consistency between documents. OSA and OCS will work together with Gopher Athletics to develop a mix of in-person and online module training with coaches and staff members. Gopher Athletics identified and hired outside consultants Kathryn Nash and Steven Vaughan of the Gray Plant Mooty firm in Minneapolis to make a presentation on Title IX/VAWA for Coaches and Athletics Directors. They will make such a presentation on an annual basis. Athletics also has identified and hired an outside consulting firm, the Dan Beebe Group, to assist in developing crisis management communication and strategies.

The President and his staff are committed to open and timely communication with the Board of Regents around this and all issues of importance to the University.

Finally, the report recommended that UMTC share lessons learned with the system campuses. A systemwide conference on preventing sexual misconduct is scheduled for March 6, 2018.

# PRESIDENT'S INITIATIVE to PREVENT SEXUAL MISCONDUCT



# Creating a *Climate of Respect* at the University of Minnesota to *Prevent Sexual Misconduct*

The University of  
Minnesota community  
chooses to change, lead &  
thrive in this crucial area.

Responsibility for preventing sexual  
assault and sexual harassment  
belongs to **all members of our  
University community.**

# A Public Health Approach

*“What we as a community and society do collectively to assure the conditions in which people can be healthy”.*

*(Institute of Medicine, 1988)*

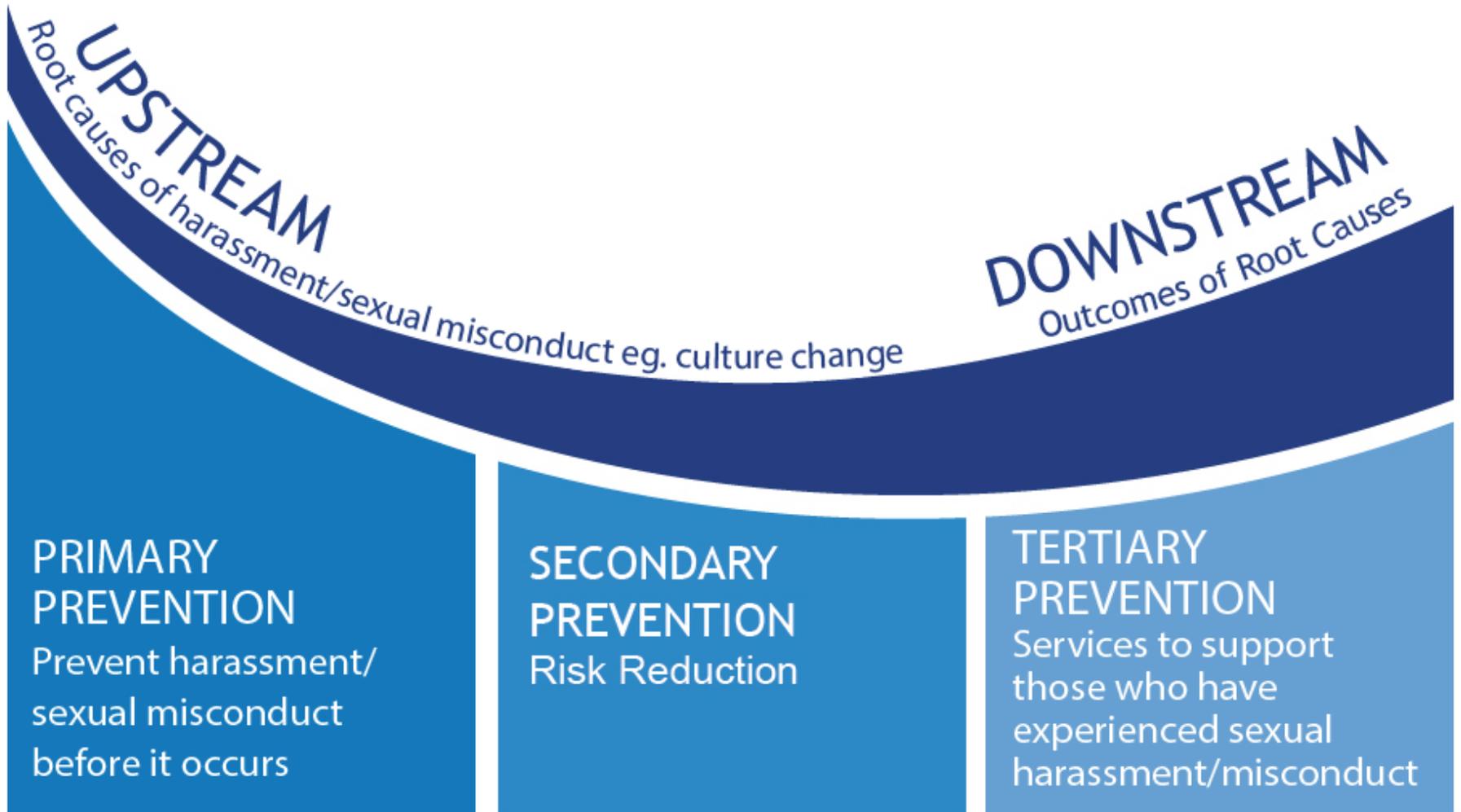
# A Public Health Approach

*The approach is.....*

***evidence-based*** in understanding causes of sexual misconduct and the conditions that enhance safety, welfare and healthy relationships,

***design-oriented*** in assessing evidence of promising practices, and in planning, implementing and evaluating adaptable strategies, and

***accounts*** for outcomes and continuous quality improvement.



(Source: modified from <https://www.thecommonwealth-healthhub.net/prevention/>)

# Essential Shifts For A Public Health Approach



(Source: modified from [openminds.com/market-intelligence/executive-briefings/improving-population-health-management-public-health-approaches/](https://openminds.com/market-intelligence/executive-briefings/improving-population-health-management-public-health-approaches/))

# ASSUMPTIONS

- Prevention programs must be theory based and research driven
- Interventions must be based on a correct understanding of the problem
- Barriers and challenges must be addressed
- Infra-structures must be created to deliver the product
- Leadership must model what we want for this community
- Prevention is a community-wide process and efforts must be adapted and modified over time

(Source: Dr. Alan Berkowitz)

# CULTURE CHANGE REQUIRES:

- **Long-term, committed, sustained action**
  - no magic bullets
- **Training and skills building**
  - social norms correction, expected behavior
- **University Community action**
  - build accountability into systems
  - holding perpetrators accountable through consistently enforced policy action
  - dealing with spectrum of behavior

# PARADOX

***A successful campaign may initially increase reporting sexual misconduct***

- Sexual misconduct across the spectrum of behavior is generally under-reported by those who experience it.
- Some survivors may not report out of fear of stigma.
- Need clear communication within and outside the University community as to outcomes and what they mean.

# DOMAINS OF A COMPREHENSIVE PROGRAM

- Policies and procedures
- Services and support for victims/survivors of harassment and sexual assault
- Training and Education

*and* **Prevention**

# OVERALL STRATEGY

Develop **mutually reinforcing, synergistic** programs to foster a comprehensive environment of change that reduces harassment and assaults.

**One intervention alone or disconnected interventions** will not change the climate sufficiently to reduce violence against women and others.

Avoid **“scattershot”** programming

(Source: Dr. Alan Berkowitz, other research)

# MODELS OF PREVENTION

*Always focus on the positive*

- Identifying groups at special risk over time and and responding to risk
- Teaching consent
- Understanding gender socialization
- Engaging the bystander
- Correcting misperceived norms

(Source: Dr. Alan Berkowitz, other research)

# THE ROLE OF SOCIAL NORMS

“Social norms” refer to the acceptability of an action or belief, i.e. they are unspoken rules about what is “normal” for a group or setting

- Misperceived norms are a strong influence on behavior and:
  - are used as self-justification by perpetrators,
  - influence how men define consent and whether or not they intervene, and
  - reinforce “rape culture” and promote victim blaming

*Research has demonstrated that healthy attitudes and behaviors are underestimated and that unhealthy attitudes and behaviors are overestimated*

(Source: Dr. Alan Berkowitz, other research)

# BYSTANDER INTERVENTION SKILLS

Train the campus community through the bystander intervention stages.

- notice the event
- interpret it as a problem
- feel responsible for dealing with it
- have the skills to act

**Challenge:** Power differentials

(Source: Dr. Alan Berkowitz, other research)

# President's Initiative to Prevent Sexual Misconduct: Workgroups & Coordinating Committee



# FACULTY/STAFF TRAINING

## PHASE I: Faculty/Staff required training (Everfi)

**GOAL:** *To increase awareness and knowledge to change UMN culture to one that does not tolerate sexual misconduct and supports any victim to safely report.*

**AIM:** Implement the Everfi training systemwide on the University platform February-June 30, 2018.

### **PROGRESS:**

- Phased systemwide implementation plan
- Communication plan enacted

## PHASE II: Department Level Development

**GOAL:** *To support academic units in developing respectful cultures that promote individual and departmental achievement.*

**AIM:** Create networks and resources to help academic units prevent and respond appropriately to sexual misconduct.

### **PROGRESS:**

- Forming development plan
- Recruiting Workgroup members

# PUBLIC HEALTH AWARENESS CAMPAIGN

**GOAL:** *To create a sustainable public health/public awareness campaign to prevent sexual misconduct.*

**AIMS:**

**#1:** Evaluate existing campaigns nationwide that meet public health/public awareness criteria.

**#2:** Determine applicability of existing campaigns to UMN and recommend model for UMN campaign

**PROGRESS:**

- Conducted comprehensive national review of public awareness campaigns.
- Developed test concepts based on best practices and University needs.
- Conducted focus groups with faculty, staff, and students to narrow and refine concepts for quantitative survey which will determine final direction.

# STUDENT EDUCATION & ENGAGEMENT

**GOAL:** *To develop a structured program and education plan for first through fourth year undergraduates as well as graduate and professional students.*

## **AIMS:**

**#1:** Identify and convene a cross-functional sexual assault prevention work group to inform, develop and implement a coordinated prevention programming plan.

**#2:** Require all new students to complete online sexual assault prevention training using Haven and HavenPlus.

## **AIMS CONT.**

**#3:** Develop and implement a comprehensive plan for ongoing training for students.

## **PROGRESS:**

- Hiring Health Promotion Specialist to lead development process.
- Met with Everfi Jan 31, 2018 to learn more about their courses (including a new course that provides ongoing education) and discuss how they can continue to be a resource for us.
- Met with campus partners on Jan 31, 2018 to review criteria/compliance/systemwide potential.

# RESEARCH & EVALUATION

**GOAL:** *To develop metrics for evaluating our sexual assault and misconduct prevention, education, advocacy and awareness activities on campus.*

**AIMS:**

**#1:** Create inventory to establish existing data sources designed to measure components of sexual misconduct.

**#2:** Develop framework to gather new metrics.

**#3:** Create structure for coordination of information sharing for all Workgroups with special considerations for the evaluation and monitoring of the Public Awareness Campaign.

**#4:** Create Research Subgroup to facilitate coordinated efforts to access existing data and support original research.

**PROGRESS:**

- Cataloging existing University data and researchers
- Developed Everfi online training pre/post survey
- Developing new tool for collecting harassment/sexual assault data
- Recruiting members for cross-disciplinary collaborative research.
- Host Spring 2018 Research Consortium to showcase/discuss ongoing and future research initiatives.

# INSTITUTIONAL RESPONSIBILITY & ACCOUNTABILITY

**GOAL:** *To develop Institutional accountability & responsibility strategies to promote a culture that is serious about prevention and accountability when individuals violate those expectations.*

# Alan Berkowitz Visit #2

Alan Berkowitz returns to Twin Cities Campus  
March 5-8, 2018

- Systemwide conference with Chancellors/campus leaders to promote networking and resource sharing
- Bystander Training
- Social Norms Training

*Prevention of sexual misconduct and promotion of a culture that supports the health and welfare of all...*

*is an **absolute necessity** for every individual in our community to thrive and for us to fully achieve the University's three-fold mission of*

***discovery, learning and service.***

***Please contact us if you have  
additional questions or comments:***

***John Finnegan, PhD; Co-Chair***  
***[finne001@umn.edu](mailto:finne001@umn.edu)***

***Karen Miksch, PhD; Co-Chair***  
***[miksc001@umn.edu](mailto:miksc001@umn.edu)***

***Sara Veblen-Mortenson, MPH/MSW; Project Manager***  
***[veble001@umn.edu](mailto:veble001@umn.edu)***



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** Systemwide Strategic Plan: Outreach & Public Service

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** President Eric W. Kaler  
Matt Kramer, Vice President for University Relations

## **PURPOSE & KEY POINTS**

The purpose of this item is discussion of the Outreach and Public Service focus area of 2017-18 systemwide strategic planning efforts. This discussion kicks off the first of five systemwide strategic planning focus area updates to the Board between February and July 2018. The remaining updates include Research & Discovery (March); Medicine & Health (May); Teaching & Learning (June); and Supporting the Mission (July).

This update includes an outline of the processes utilized in identifying priorities in Outreach and Public Service; how the work will be initiated and what the work will address at a broad scope level; and highlights of ongoing efforts to improve systemwide communications, as recommended in the Systemwide Strategic Framework approved by the Board in June 2017.

## **BACKGROUND INFORMATION**

In fall 2017, President Kaler charged Vice President for University Relations Matt Kramer with four key tasks toward identifying priorities in outreach and public service:

1. Examine outreach and public engagement efforts, their interconnectedness, and their value;
2. Assess how we engage with key economic sectors in Minnesota, including agriculture, food, medical technology, and water;
3. Examine the challenges and opportunities of community, regional and affinity partners statewide; and
4. Determine how to align and incorporate related work already in progress, including systemwide communications.

Completion of a systemwide strategic plan that incorporates an academic program investment strategy and a long-term financial framework is a Board of Regents priority for 2017-18. At its September 2017 meeting, the Board was briefed on the general systemwide strategic planning process, five focus areas and a timeline. At its October 2017 meeting, the Board participated in a level-setting discussion, which highlighted intersections among strategic plans throughout the system. At its December 2017 meeting, the Board took part in a data level-set discussion, in

conjunction with the 2017 Accountability Report. The data level set provided an overview of other important institutional data most relevant to the systemwide strategic planning efforts underway.

# Outreach and Public Service Strategic Work Plan and Systemwide Communication Framework

Board of Regents | February 2018

**Matt Kramer | Vice President, University Relations**





# Systemwide Vision



Charge from President

# Charge from President Kaler

- **Examine outreach and public engagement** efforts, their interconnectedness, and their value.
- **Assess how we engage** with key economic sectors in Minnesota, including agriculture, food, medical technology, and water.
- **Examine the challenges and opportunities** of community, regional, and affinity partners statewide.
- **Determine how to align and incorporate** related work already in progress, including system-wide communications.





Our Approach is  
Stakeholder-Centric

**Focus on what  
our stakeholders  
expect from us**



and not what we think  
they should want.



# Stakeholder-Centric Approach

- Allows us to **define engagement by “common” variables** across multiple different stakeholders, creating efficiencies, and alignment in our approach.
  - **Bundles “like needs”** into a single initiative.
- Create **structural change** to establish maximum effectiveness.





# Outreach and Public Service: Name of Focus Group

## Current Engagement Levels

Low

- .
- .
- .

Medium

- .
- .
- .

High

- .
- .
- .

## Observations

- .
- .
- .

Investment \$ \$ \$ \$ \$

ROI  low medium high

## Stakeholder Objectives

- .
- .
- .
- .
- .
- .

## Recommendations

- .
- .
- .

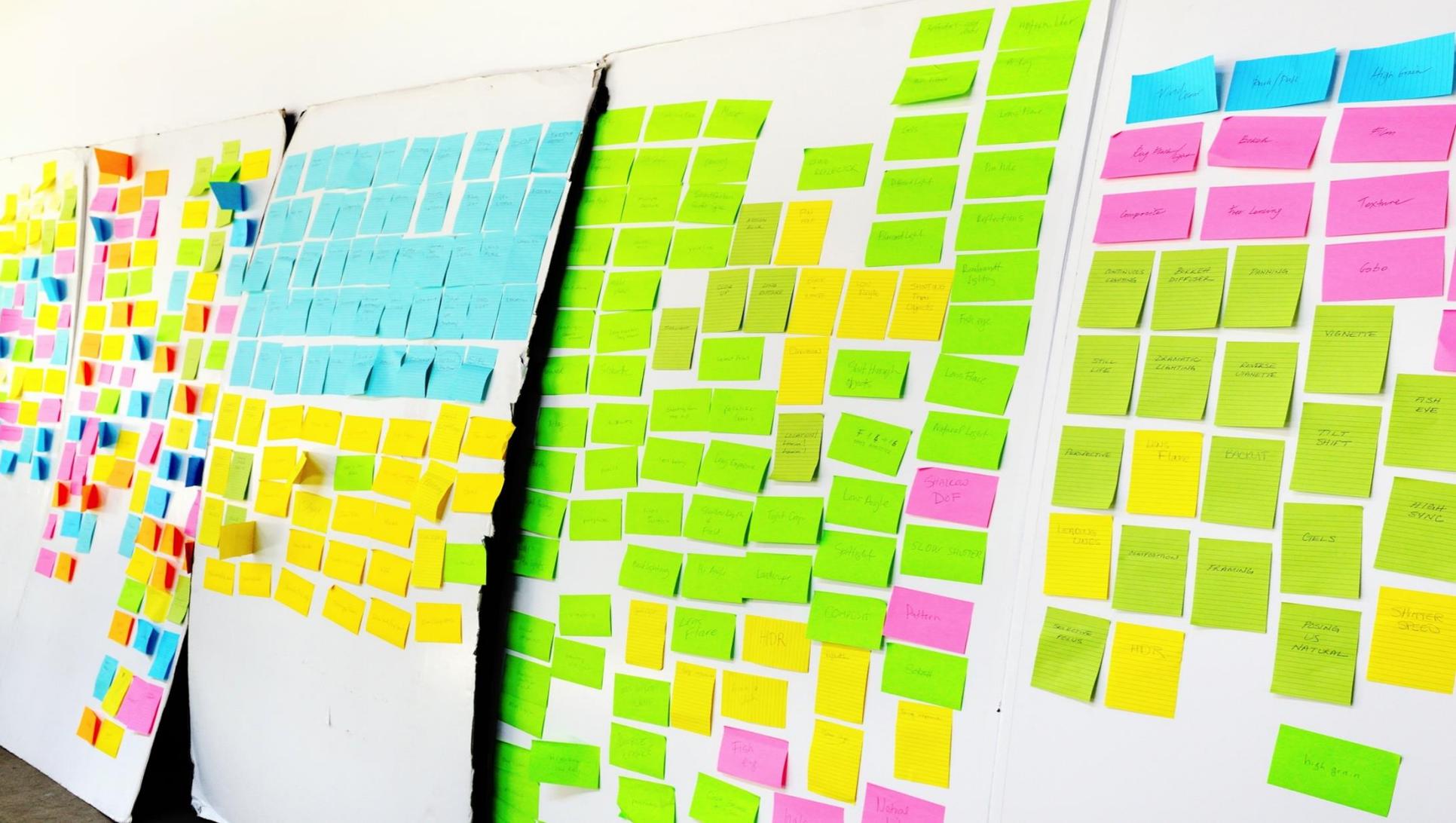
Investment \$ \$ \$ \$ \$

ROI  low medium high





## Our Process



Grid of cyan sticky notes, likely containing technical specifications or camera settings.

Grid of yellow sticky notes, likely containing technical specifications or camera settings.

Grid of green sticky notes, likely containing technical specifications or camera settings.

Grid of yellow and green sticky notes, likely containing technical specifications or camera settings.

Grid of green and yellow sticky notes, likely containing technical specifications or camera settings.

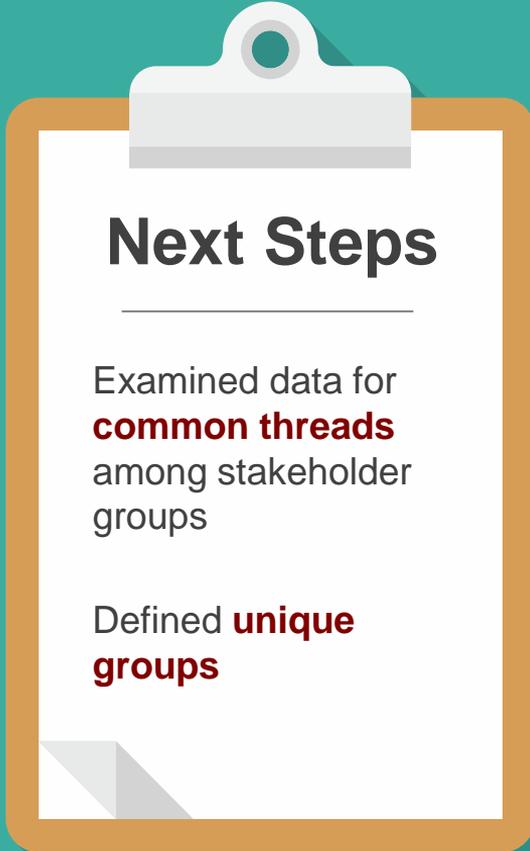
Grid of yellow and pink sticky notes, likely containing technical specifications or camera settings.

Grid of cyan, pink, and yellow sticky notes, likely containing technical specifications or camera settings.

Grid of green and yellow sticky notes, likely containing technical specifications or camera settings.

Grid of yellow and green sticky notes, likely containing technical specifications or camera settings.

High grain

A stylized clipboard with a white sheet of paper and a grey clip at the top. The paper has a folded corner at the bottom left. The background is a teal gradient with a dark teal shadow on the right side.

## Next Steps

---

Examined data for **common threads** among stakeholder groups

Defined **unique groups**

Profiled **67** unique  
stakeholder groups





# Outreach and Public Service: Students (Undergraduate, Graduate, Professional)

## Current Engagement Levels

### Low

- Emergency Services
- UMAA/Alumni Relations
- University Relations
- President
- Provost
- OED

### Medium

- One Stop
- OSA
- Units with student employees

### High

- Colleges/Campuses
- University Services
- Professional Schools
- Admissions
- Student Support Services (Residential Life, Parking, Healthcare, etc.)

## Observations

- Multiple channels with extensive overlap
- No consistent voice
- Students have a different “experience” depending where they are in the system
- Little attempt to activate for advocacy or for engagement
- Confusion as to “who speaks” to students when dealing with mandatory versus informational messages
- Transactional versus “pride building”

Investment \$ \$ \$ \$

ROI



## Stakeholder Objectives

- First year program is comprehensive and engaging
  - Second/Third/Fourth considerably less so
- Information on campus and system
- Career building
- Future opportunities
- Contribution
  - Advocacy
  - Volunteer
  - Financial
- Event offerings

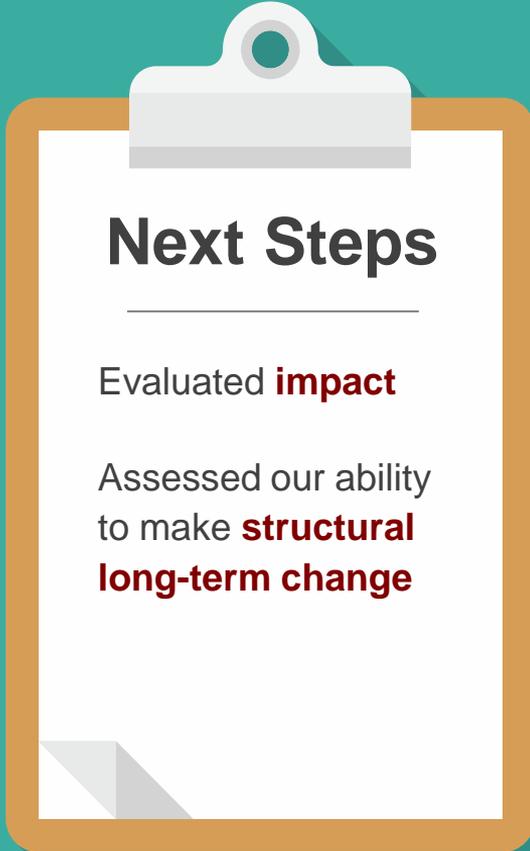
## Recommendations

- Centralized engagement with “cradle to grave” approach
- Must be systemwide (all campuses, all programs)
- Informs, educates, and engages
- Determine where this resides and how content and delivery will be managed
  - Connect this program to Parents

Investment \$ \$ \$ \$

ROI



A stylized illustration of a clipboard with a white sheet of paper and a silver clip at the top. The clipboard has a brown border and a shadow on the right side. The text is centered on the white paper.

## Next Steps

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Evaluated **impact**

Assessed our ability  
to make **structural  
long-term change**

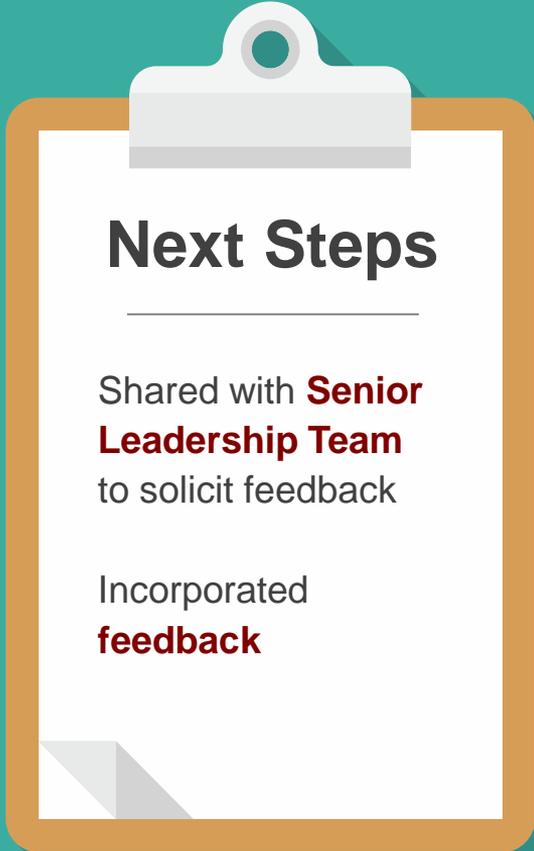
**40**  
groups



# 16

high-potential groups



A white clipboard with a silver clip at the top, containing a white sheet of paper with an orange border. The paper has a folded bottom-left corner. The background is a teal gradient with a dark teal shadow on the right.

## Next Steps

---

Shared with **Senior Leadership Team**  
to solicit feedback

Incorporated  
**feedback**

# 4

strategic stakeholder areas





**Alumni / Parents / Elected  
Officials / Interested Third-Parties**



**Media**



**Youth  
Organizations**



**Affinity Groups**  
Water / Agriculture  
Healthcare / Food



# Purpose

## Externally

- **Increase value** for our stakeholders.
- **More effectively engage** with University resources.
- **Build support and advocacy** for our efforts.

## Internally

- **Increase efficiency** in communications development.
- **Increase efficacy** in message delivery.
- **Reduce overlap** between units within the University.





**Alumni / Parents / Elected  
Officials / Interested Third-Parties**





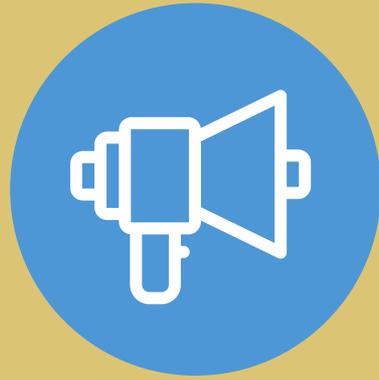


## Recommended

### Alumni/Parents/Elected Officials/Interested Third-Parties

- Create **a central digital content** engine across multiple stakeholder groups in which stakeholders define what they want and on what schedule.
- Content across all university units would be distributed through a **central content engine**.
- **Eliminate, over time, print publications** as stakeholder groups accept and engage on digital content. Significant production, printing, and distribution cost savings.
- **Add new stakeholders** to the “engine” as they are defined.
- Constantly **add new content** to serve new stakeholder groups.





**Media**







# Recommended

## Media / Content Development

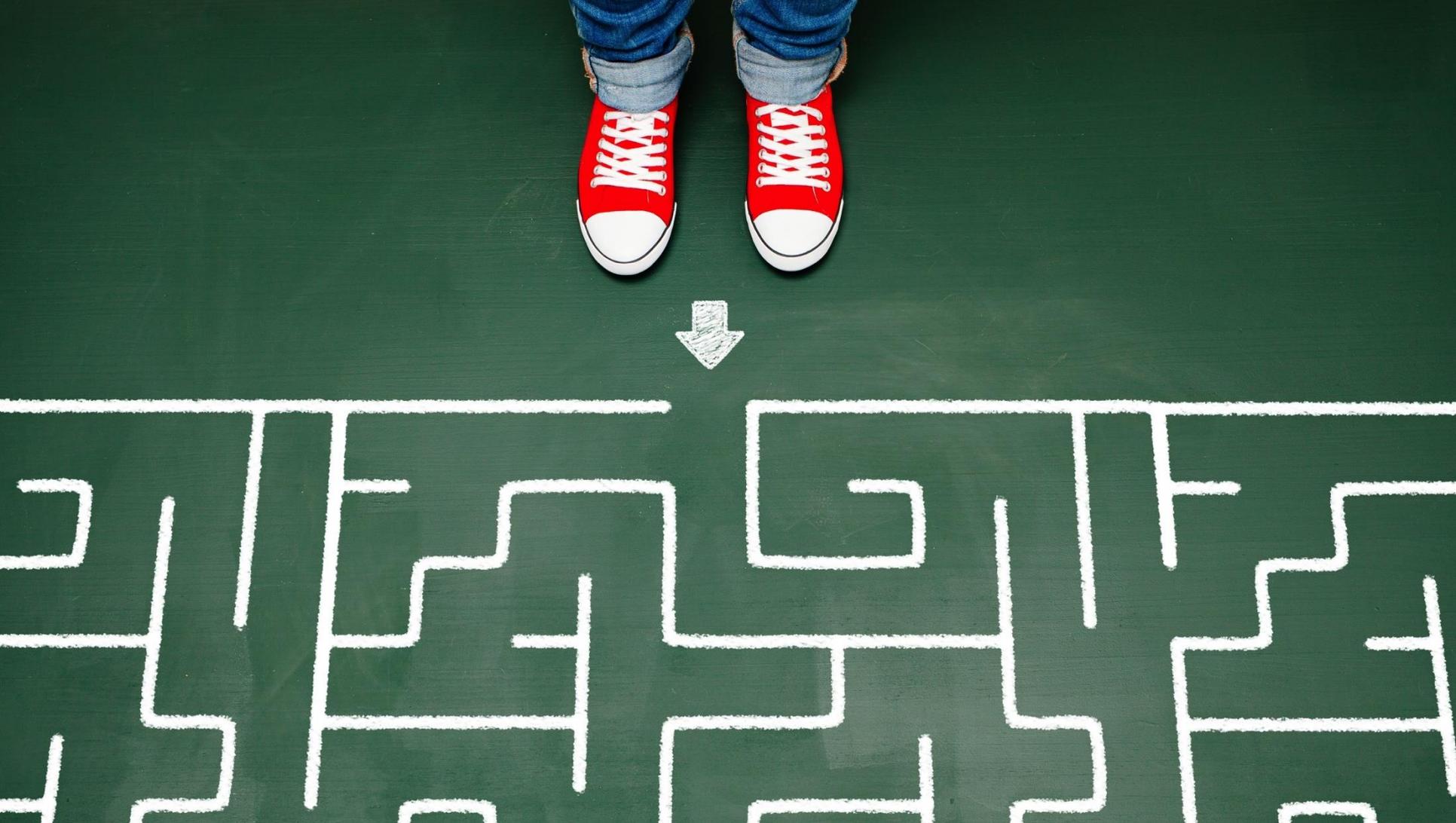
- **Collect and leverage media relationships** to the benefit of the entire system.
- **Increase C2 training** on content creation/delivery.
- Increase **diversity of media contacts** (TC and Greater MN outlets).
- Increase **focus on national media** for brand advancement.
- Encourage **emphasis on “why this matters”** to reinforce statewide connection.





# Youth Organizations







## Recommended Youth Organizations

- **Centralize communication resources** ([youth.umn.edu](http://youth.umn.edu)).
- Prioritize **higher external marketing and awareness**.
- **Develop new channels** (high schools, middle schools, youth orgs, etc.).
- Tie to **admissions marketing**.
- **Leverage campus resources** for youth organizations state-wide.
  - All campuses and assets.





# Affinity Groups







## Recommended Affinity Groups

- Build **comprehensive communications “catalog”** of available resources, research, and focus by units.
- Build **media outreach plan** to highlight broad spectrum of support for the identified affinity group.
- This effort links to **existing coordination initiatives** initiated by OVPR and UMF for major businesses.
- Focus on the **“so what”** relevant to Minnesota.





Next Steps



# UMF + UMAA + UR + Campuses + Provost

**Establish project team** to coordinate with campuses.

- Common approach/best practices for all alumni regardless of campus.
- Model content integration for effective communication.
  - Alumni
  - Donors
  - Interested stakeholders

**Develop, implement, and evaluate effectiveness** of integrated communications that minimize overlap and maximize message impact.

**Measure recipient satisfaction.**

- Reduce and eliminate duplicative content.





# University Relations + Communicators

## **Establish project team.**

- Establish needed integration across the system.
- Identify training needs.
  - Develop training modules and common templates for maximum effectiveness.
- Implement expanded media strategy.





## CEHD + UR + Extension + Campuses

### **Establish project team.**

- Define all youth resources.
- Define, implement, evaluate effectiveness of enhanced marketing.
- Develop and implement youth marketing strategy that addresses parents as advocates.
- Link to Admissions work.





## OVPR + UR + UMF + Campuses

### **Establish project team.**

- Create catalog of all available resources.
- Build media outreach plan with designated focus areas.
- Define, implement, and evaluate effectiveness of stakeholder updates across all resources.
  - Utilize existing CEW network.





## Four Key Strategic Areas



---

Focused **follow-up**

**Report back** in six  
and 12 months





# Systemwide Strategic Framework

# Directions from Systemwide Strategic Framework

*approved by Regents June 9, 2017*

## **Improve Systemwide Communication**

- Develop a common language for the System and its component units.
- Distribute internal and external communications about the successes of each campus, emphasizing the distinctive excellence present on individual campuses and throughout the System.
- Develop internal and external communication strategies to highlight the collective scope of the System's impact on communities in the state.



# Collaborative Approach

System communicators defined **how best to accomplish the work**:

- Shared values and principles to guide the work.
- Common language for communicating about the University of Minnesota as a system.
- Systemwide marketing and communication strategy to highlight collective strengths.
- Identity system to ensure consistency.



# Completed

- Shared values and principles.
- Common language for communicating about the U of M as a system.



## Systemwide Values and Principles

These shared values and principles serve to guide U of M communicators while working together to build a systemwide communication strategy.

As members of the five system campuses, we:

- Benefit from connecting with the U of M system
- Are committed to collaboration and communicating as a system
- Respect individual voices, perspectives, and will work together toward the common goal
- Look for opportunities to connect stories from multiple campuses to tell a bigger, better, and more powerful system story
- Respect individual campus attributes and recognize those distinct points along with what we have in common to show the strength of the U of M system
- Represent our individual campus while also serving as a partner to our colleagues across the system
- Have a shared responsibility of the outcomes and will serve as an ambassador in support of the system-wide communication strategy
- Respect each other's experiences, knowledge, relationships, and will leverage these unique attributes to enhance our efforts
- Recognize collective maroon and gold pride that runs deep and connects us all

Words, Phrases and Concepts in a U of M Systemwide Common Language	
<b>DRAFT</b> Historical background: the University of Minnesota Twin Cities campus is the original University of Minnesota campus. The Duluth campus joined the system in 1947, followed by Morris in 1960, Crookston in 1966, and Rochester in 2006.	
Helpful: The U of M "systemwide" system	
Listing the five campuses: Crookston, Duluth, Morris, Rochester, Twin Cities (especially helpful in internal and external system videos and print or digital ads) – helps the public know the locations of the U of M	The "main campus" or "flagship campus" – referring to the Twin Cities campus, implies the other campuses are inferior – upon further discussion, there may be room to consider "flagship" if consistent rules are developed
"One of five system campuses of the University of Minnesota statewide..." – reinforces systemness and that the U of M has a presence across the state	A coordinate campus – old terminology for non-Twin Cities
... CONCEPTS ...	Use "The University of Minnesota System" when referencing all campuses.
State of Minnesota map illustrates the University across the state	
Maroon and Gold – school colors used by all campuses	state? Possibly derogatory toward greater Minnesota; "statewide" can also sometimes be confusing
Showing the five campus mascots, Gophers, Gopher, Champ the Bulldog, Pounce the Cougar, Regal the Golden Eagle, shows the representation of each campus	Branch campus – likewise problematic
Administrators of the five campuses letterhead – reinforces systemness and that the U of M has a presence across the state	... CONCEPTS ...
Including reference to the five campuses at the end of news releases - reinforces systemness and that the U of M has a presence across the state	Creating overarching marketing campaign themes before having a discussion with the systemwide campuses – often makes it difficult to know how or find a way to fit the campuses into the campaign



# In Progress

- Systemwide marketing and communication strategy.

UNIVERSITY OF MINNESOTA  
Driven to Discover®  
Crookston Duluth Morris Rochester Twin Cities

**Systemwide Communication Strategy - Action Items**

These action items are designed to execute more purposeful systemwide communication to internal and external audiences in order to strengthen awareness and perception of the University of Minnesota System. This effort is driven by our [shared values and principle](#).

Action Item	Timeline	Audience	Point person
Create and distribute systemwide identity guide	August 2018	U of M employees, specifically communicators and administrators	Laura
Present systemwide communication strategy to communicators and administrators on each campus	October 2018		(from at least 2 different campuses)
Develop and launch a systemwide webpage	September 2018	(remember recruitment component - campus finder)	Lynne work with subgroup from each campus
Update President	June 2018		



# In Progress

- Identity system



UNIVERSITY OF MINNESOTA

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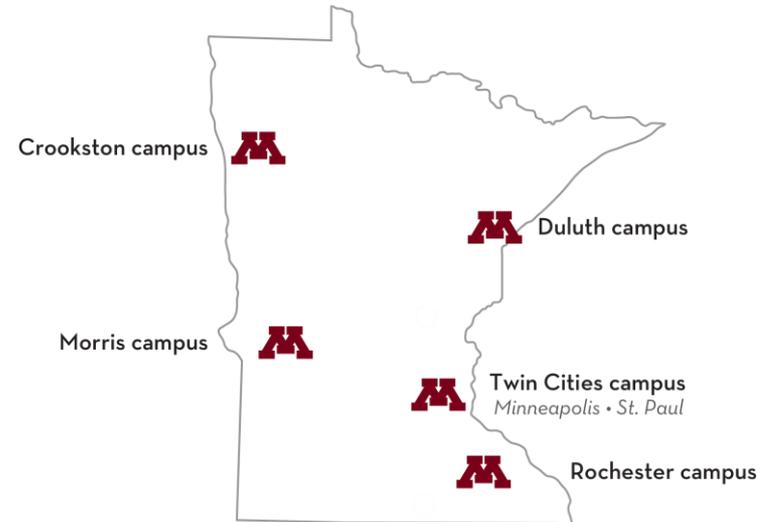


Maroon



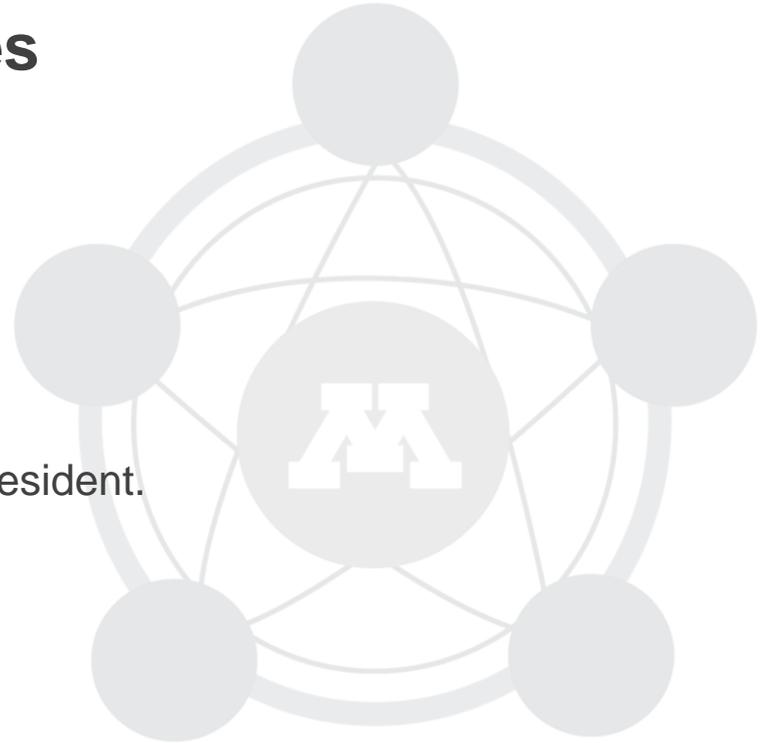
Gold

## UNIVERSITY OF MINNESOTA SYSTEM



# Supporting Strategic Initiatives

- Five **focus areas**.
- **Continued integration / assessment** of their supporting network and overlap.
- **Systemwide Strategic Planning Oversight Committee** coordinates per charge of the President.





UNIVERSITY OF MINNESOTA

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The University of Minnesota is an equal opportunity educator and employer.



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** University of Minnesota Economic Impact

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

*This is a report required by Board policy.*

**PRESENTERS:** Matt Kramer, Vice President, University Relations  
Lincoln Kallsen, Assistant Vice President, Institutional Research

## **PURPOSE & KEY POINTS**

The purpose of this item is to provide information about the economic impact the University of Minnesota has on the state of Minnesota. The study quantifies the University’s direct, indirect, and induced economic and employment impact, using 2017 data. Key findings of the report include:

- The University’s total economic impact, statewide, is \$8.6 billion.
- 77,664 jobs are supported by the University of Minnesota.
- Each dollar invested in the University of Minnesota returns \$13.83 statewide to Minnesota’s economy.
- The University of Minnesota generates \$470.2 million in state and local tax revenue.

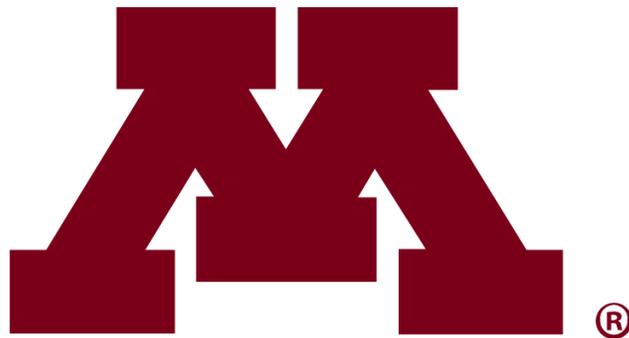
The report provides impact data by campus and economic region; impact data for University of Minnesota research; alumni impacts; and the estimated impact a University of Minnesota degree on the earnings potential for its graduates.

## **BACKGROUND INFORMATION**

The Board of Regents received results of the original University of Minnesota economic impact study in March 2011. This update, like the original study, was conducted by Tripp Umbach, a national leader in providing economic impact analyses to leading universities, research institutions, hospitals, and academic medical centers. This report represents an update of the 2011 report.

# Economic Impact of University of Minnesota FY17

January 2018



UNIVERSITY OF MINNESOTA  
**Driven to Discover**<sup>SM</sup>

Completed by:

**Tripp  
Umbach**

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## **Executive Summary**

The University of Minnesota (UMN) is a public research university that is consistently ranked among the world's most comprehensive and renowned institutions for academic, clinical, and research advancement. With five campuses located throughout Minnesota—Twin Cities, Duluth, Morris, Crookston, and Rochester—the university creates a culture of discovery and innovation to improve society for all. Founded in 1851, the University of Minnesota has the special distinction of being Minnesota's sole research university and its only public land-grant institution, with a unique capacity and responsibility to improve the lives of Minnesotans and drive the state forward through advanced education, knowledge discovery, and collaboration. UMN's breadth and depth of services have a far reach that impacts virtually every person throughout the state and communities across the globe and meets the many challenges of a diverse and changing world in the 21st century.

The University of Minnesota is founded on the belief that all people are enriched by understanding. The university is dedicated to the advancement of learning and the search for truth; to the sharing of this knowledge through the education of 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:<sup>1</sup>

### **Research and Discovery**

Generate and preserve knowledge, understanding, and creativity by conducting high-quality research, scholarship, and artistic activity that benefit students, scholars, and communities across the state, the nation, and the world.

### **Teaching and Learning**

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

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<sup>1</sup> Mission and Policy Statement for the University of Minnesota, [http://regents.umn.edu/sites/regents.umn.edu/files/policies/Mission\\_Statement.pdf](http://regents.umn.edu/sites/regents.umn.edu/files/policies/Mission_Statement.pdf)

## Outreach and Public Service

Extend, apply, and exchange knowledge between the University and society by applying scholarly expertise to community problems, by helping organizations and individuals respond to their changing environments, and by making the knowledge and resources created and preserved at the university accessible to the citizens of the state, the nation, and the world.

To quantify the economic impacts generated by the university within the state of Minnesota and each Economic Development Region, UMN retained the consulting firm Tripp Umbach<sup>2</sup> to complete an economic and community impact study for Fiscal Year 2017. Key findings from the study include the following impacts:

- UMN generates \$8.6 billion in combined economic impact annually for the state of Minnesota.<sup>3</sup>
- UMN supports 77,664 jobs throughout Minnesota.
- The University of Minnesota is the fifth largest employer in Minnesota.<sup>4</sup>
- State and local government revenue attributable to the presence of UMN totaled \$470.2 million.
- For every dollar invested by the state in the University of Minnesota, \$13.83 is generated in the state's economy.
- UMN faculty, staff, and students generate more than \$131.4 million annually in community impact through donations and volunteer time to local nonprofits. In addition, M Health supports more than \$6.9 million

<sup>2</sup> Tripp Umbach is a Pittsburgh-based consulting firm specializing in economic development and impact studies and has completed customized studies for colleges and universities, academic medical centers, hospitals and health systems, non-profit organizations, research institutes, and economic development agencies, as well as arts, tourism, and sports initiatives.

<sup>3</sup> Combined impacts include calculations for the University of Minnesota schools and colleges, UMN Research, UMN Research and Outreach Centers, UMN Extension, and M Health.

<sup>4</sup> Minnesota Department of Employment and Economic Development, Top Employers Statewide; <https://mn.gov/deed/business/locating-minnesota/companies-employers/top-employers.jsp>

### THE UMN SYSTEM SUPPORTS THE STATE ECONOMY

OVERALL ECONOMIC  
IMPACT OF THE UMN  
SYSTEM ACROSS THE  
STATE WAS \$8.6 BILLION.



THE UMN SYSTEM  
DIRECTLY OR INDIRECTLY  
SUPPORTED 77,664 JOBS  
THROUGHOUT THE  
STATE OF MINNESOTA.



THE UMN SYSTEM  
GENERATED APPROXIMATELY  
\$470.2 MILLION IN STATE  
AND LOCAL GOVERNMENT  
REVENUES FOR THE STATE  
OF MINNESOTA.



in charity care to underserved populations in across the state.

## Study Background

In June 2017, Tripp Umbach was retained by the University of Minnesota (UMN) to provide a comprehensive analysis of the economic, employment, government revenue, and community benefits that arise from university operations. Impact analysis was conducted to measure these effects throughout the state of Minnesota and each Economic Development Region<sup>5</sup>.

The influence that the University of Minnesota has on the vitality of the economy in the region and state includes the following elements:

- Economic impact of the university
- Business volume impacts (UMN capital expenditures, operational expenditures, and payroll)
- Direct, indirect, and induced employment impacts
- Government revenue impacts at the local and state levels
- The impact of spending by employees in the local economy on goods and services
- The impact of visitor spending on the economy (wage premiums, job creation, etc.)
- The impact of student spending in the region (retail/merchandise, hospitality, etc.)
- The impact of the attraction to external research dollars, the commercialization of research discoveries, and the impacts on the economic development throughout the region
- The impact that employees and students have on the community through donations and volunteer work, alongside contributions through service-learning, community-based research projects, and internships.

This economic impact analysis measures the effect of direct, indirect, and induced economic, employment and government revenue impacts for the University of Minnesota, including its schools and colleges, UMN research and outreach centers, UMN Extension and Regional Extension Offices, and M Health throughout the state

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<sup>5</sup> The Minnesota Department of Employment and Economic Develop (DEED) defines the state's 13 economic development regions as: (1) Northwest; (2) Headwaters; (3) Arrowhead; (4) West Central; (5) North Central; (6E) Southwest Central; (6W) Upper Minnesota Valley; (7E) East Central; (7W); Central; (8) Southwest; (9) South Central; (10) Southeast; (11) 7 County Twin Cities. <https://apps.deed.state.mn.us/assets/lmi/areamap/wsa.shtml>

of Minnesota and each Economic Development Region. For the purposes of the impact analysis, UMN is defined as the combined impacts of the University of Minnesota, the UMN network of Research and Outreach Centers (ROCs), UMN Regional Extension Offices, and M Health. These entities are further defined as:

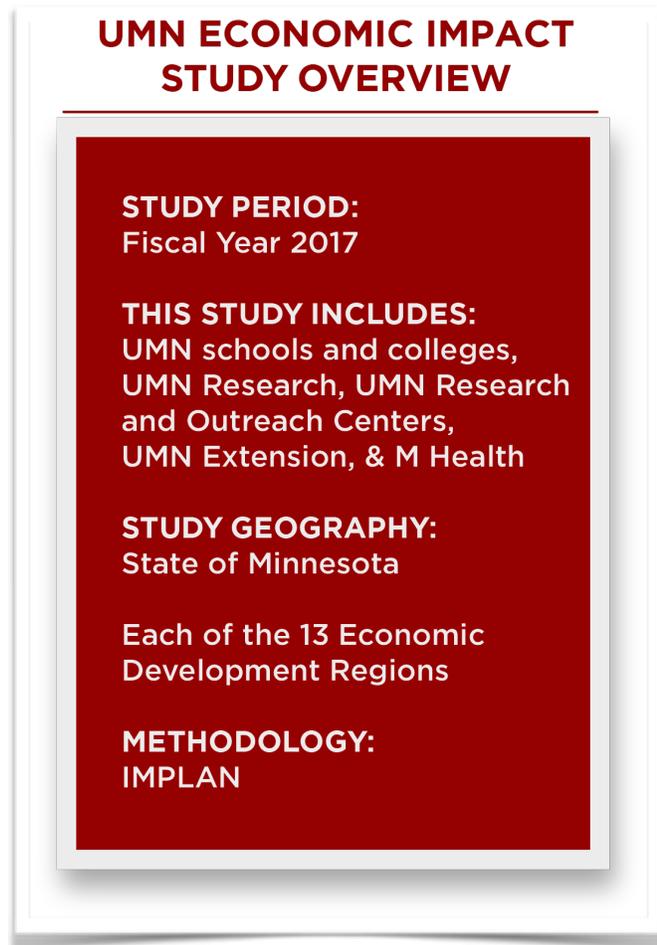
- The University of Minnesota – Impact analysis conducted for the combined totals of each campus of the UMN system (Twin Cities, Crookston, Duluth, Morris, and Rochester) with respective schools and colleges.
- UMN Research and Outreach Centers (ROCs) – Impact analysis conducted for total research operations and the operations of the UMN Research and Outreach Centers (10 centers in communities throughout Minnesota).
- UMN Regional Extension Offices – Impact analysis conducted for statewide UMN Regional Extension Offices located in: Andover, Brainerd, Cloquet, Crookston, Farmington, Grand Rapids, Mankato, Marshall, Moorhead, Morris, Rochester, Roseau, St. Cloud, Willmar, and Worthington.
- M Health – Impact analysis conducted for the University of Minnesota Medical Center (UMMC), University of Minnesota Physicians (UMP), University of Minnesota Masonic Children's Hospital (in partnership with the Fairview Health System), and a number of free standing clinics and ambulatory surgery centers located throughout the state.

## Methodology Employed in the Economic Impact Study

Tripp Umbach’s economic impact analysis measures the direct, indirect, and induced business volume and government revenue impacts of UMN’s operations throughout the state of Minnesota and each Economic Development Region for FY17<sup>6</sup>. UMN provided Tripp Umbach with the following primary data used to conduct the analysis: capital expenditures, operational expenditures, number of employees, payroll and benefits, and taxes paid to local and state governments.

Tripp Umbach analyzed the economic impact of the University using the IMPLAN input-outcome model.<sup>7</sup> Economic impact begins when an organization spends money. Studies measuring economic impact capture the direct economic impact of an organization’s spending, plus additional indirect and induced spending in the economy as a result of direct spending. Visitor and student spending in the region is also a substantial component of the economic impact of an organization.

Visitors and students spend money for retail purchases, lodging, restaurants, and other goods and services; these expenditures filter through the economy and support local jobs.<sup>8</sup>



The graphic is a white-bordered box with a red background. At the top, it reads 'UMN ECONOMIC IMPACT STUDY OVERVIEW' in bold red text. Below this, there are four sections of text, each starting with a bold red header: 'STUDY PERIOD: Fiscal Year 2017', 'THIS STUDY INCLUDES: UMN schools and colleges, UMN Research, UMN Research and Outreach Centers, UMN Extension, & M Health', 'STUDY GEOGRAPHY: State of Minnesota', and 'Each of the 13 Economic Development Regions'. The final section is 'METHODOLOGY: IMPLAN'.

<sup>6</sup> Fiscal Year 2017 represents the period of time from July 1, 2016 to June 30, 2017.

<sup>7</sup> Minnesota IMPLAN Group, Inc., (MIG) is the corporation that is responsible for the production of IMPLAN (Impact analysis for PLANning) data and software. IMPLAN is a micro-computer-based, input-output modeling system. With IMPLAN, one can estimate Input-Output models of up to 528 sectors for any region consisting of one or more counties. IMPLAN includes procedures for generating multipliers and estimating impacts by applying final demand changes to the model.

<sup>8</sup> To remain conservative while calculating visitor spending throughout the state, Tripp Umbach utilized federal per diem rates for Minnesota; <https://www.gsa.gov/travel/plan-book/per-diem-rates>

The University of Minnesota's total economic impact represented here includes the university's spending on goods and services with a variety of vendors, the spending of UMN's faculty, staff, students, and visitors, and the business volume generated by organizations within the regions and the state. Not all dollars spent by an institution remain in the institution's home state. Dollars that go out of the state, through spending by out-of-state organizations or people, are not included in the UMN's economic impact. The economic impact values presented in this report are generated by direct, indirect, and induced operational spending, capital spending, payroll, visitor spending, and student spending within the state of Minnesota and the Economic Development Regions.

The University's overall impact to the state goes beyond the economic outcomes analysis that is this report's primary focus. As a globally engaged research and teaching institution with a land-grant mission of serving the public, the University—through its research, teaching, and outreach—is a catalyst for innovation and collaboration benefiting Minnesota communities; its impact also extends to the development of human capital, promotion of civic values, and other significant impacts of value to the state. The broader impact is acknowledged but not comprehensively documented in this report.

## UMN Impacts Throughout the State of Minnesota

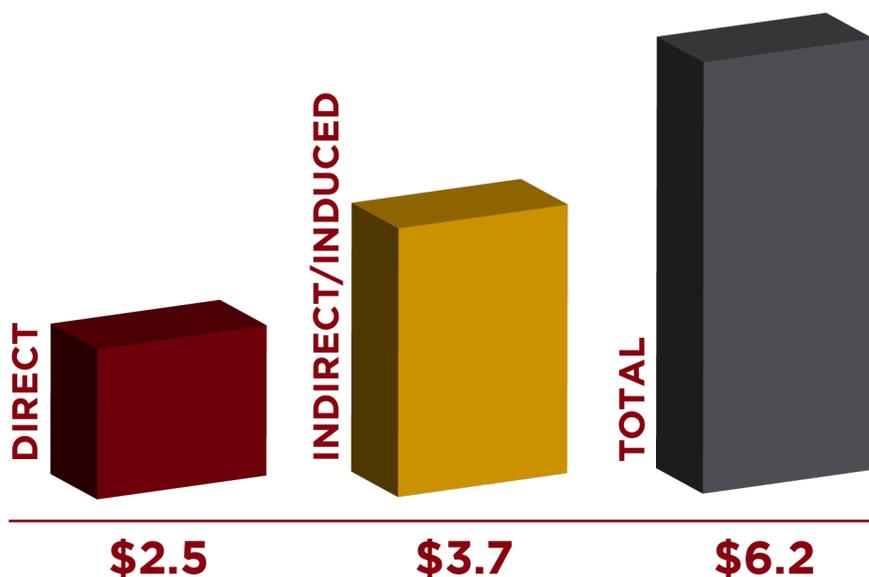
The University of Minnesota is a driving engine for education and research in the state of Minnesota, and is a name linked to outreach and engagement with stakeholders and communities across the state. The University’s activities as the state’s state-chartered research institution and land-grant university generate economic benefits, employment, and government revenue throughout the state. With five locations—Twin Cities, Crookston, Duluth, Morris, and Rochester—the university contributes significantly to regional and state economies. As the fifth largest employer in the state of Minnesota, UMN generates significant impacts for its employees as well as the state on a daily basis.<sup>9</sup>

### Economic Impact

The University of Minnesota provides important economic activity throughout Minnesota. Direct spending by the university system to vendors and employees helps to generate additional spending in the areas of each campus as well as economic activity important throughout the state.

The mission-based activities supported by these expenditures affect Minnesotans each day as UMN works to improve life for all. In FY17, the university campuses alone generated more than \$6.2 billion in economic impact for the state of Minnesota. This total represents the direct impact of all five campuses spending in

### OVERALL ECONOMIC IMPACT OF UMN (IN BILLIONS)



Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.

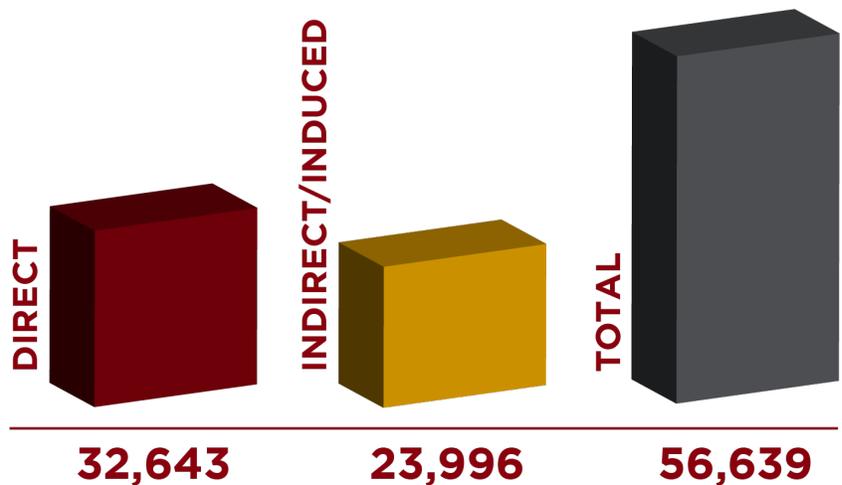
<sup>9</sup> Minnesota Department of Employment and Economic Development; Top Employers Statewide; <https://mn.gov/deed/business/locating-minnesota/companies-employers/top-employers.jsp>

the state (\$2.5 billion), as well as the indirect spending that occurs as a result of the presence of UMN (\$3.7 billion). Please note this figure excludes the impact of the UMN's contributions to the state's economic development through intermediary agencies.

**Employment Impact**

In FY17, the University of Minnesota campuses directly supported 32,643 jobs (full-

**OVERALL EMPLOYMENT IMPACT OF UMN**  
(IN JOBS)



time and part-time) throughout the state. This employment makes a direct contribution to the overall workforce vitality of the state and bolsters the economy. Those directly employed by UMN spend dollars in the state, and, therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support

*Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.*

additional indirect jobs throughout Minnesota. In total, the presence of the university supports 56,639 jobs in the state of Minnesota.

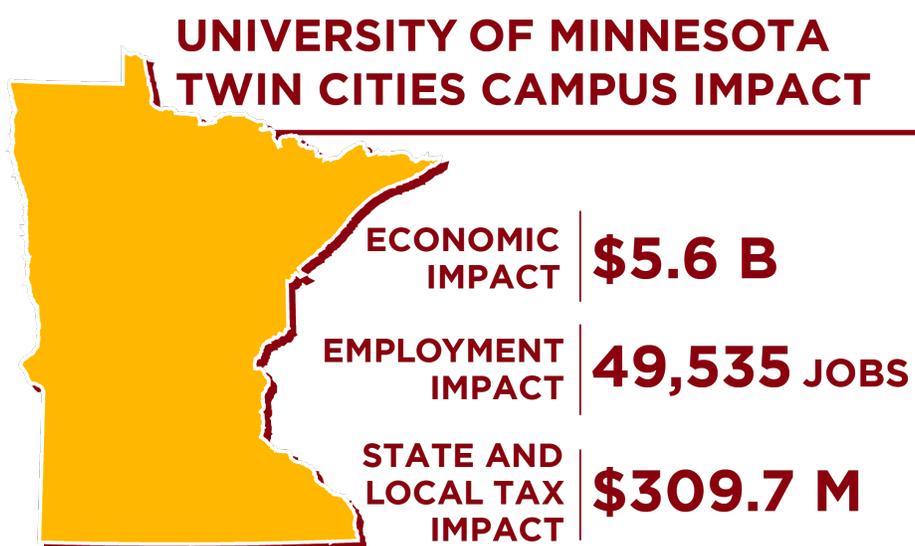
**State and Local Government Revenue Impact**

The University of Minnesota contributes significantly to the state and local tax bases. The university's spending with state and local organizations, support of jobs for university employees living in Minnesota, and visitor spending contributes to state and local tax revenues. In FY17, UMN generated more than \$343.4 million in direct and indirect/induced tax payments in Minnesota for state and local governments.

## University of Minnesota—Twin Cities Campus Impact<sup>10</sup>

The University of Minnesota, Twin Cities (UMTC), is among the country's largest and most comprehensive public research universities, with a faculty of scholars, scientists, and teachers spanning many fields and including field-leading experts from around the globe. With 16 colleges and schools, nearly 50 interdisciplinary graduate degree programs, and over 200 collaborative institutes and centers, the UMTC is also one of few major public research universities located in a large and diverse metropolitan area and is one of just four campuses in the nation that have agricultural programs and an academic health center with a major medical school. UMTC places strong emphasis on publicly engaged research and teaching and the campus is a hub for research collaborations addressing the most critical challenges of Minnesota and the world. It offers undergraduate, graduate, and professional students a multitude of opportunities for study and research, integrated with extensive community-engaged learning, research, service, and internship opportunities with world-renowned health centers, global corporations and private businesses, government agencies, and arts, nonprofit, and public service organizations.

Research activity and spending by the University of Minnesota—Twin Cities results in significant economic, employment, and government revenue impacts generated throughout the state. In FY17, the economic impact of the Twin Cities campus totaled \$5.6 billion. The employment impacts of the campus supported 49,535 jobs throughout the state. Considering the campus's operations, an additional \$309.7 million was generated in state and local government revenue that is attributable to the Twin Cities campus.



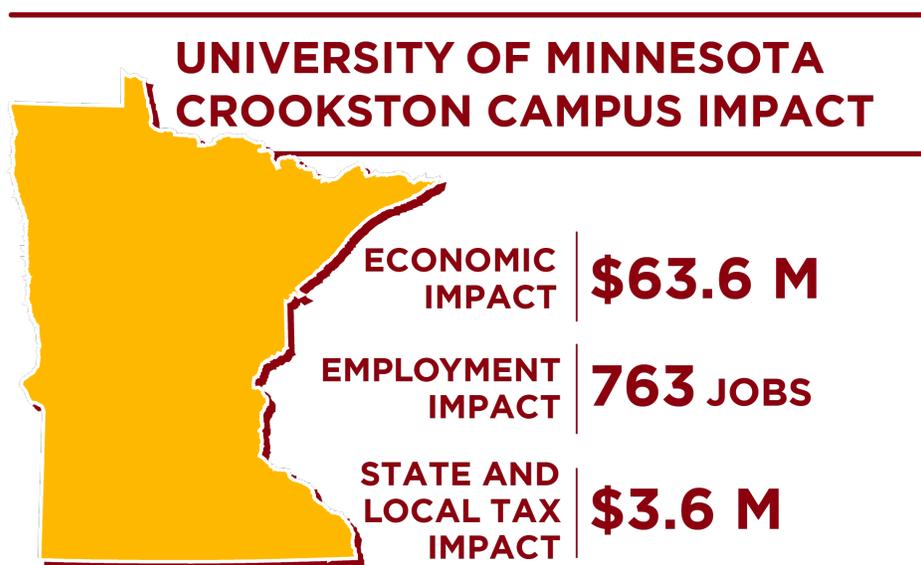
<sup>10</sup> History of the University of Minnesota; <https://r.umn.edu/node/511>

### University of Minnesota—Crookston Campus Impact<sup>11</sup>

The University of Minnesota, Crookston (UMC), proudly carries on the tradition of a century’s worth of educational services to northwestern Minnesota. UMC equips all students and faculty with laptop computers and offers individual attention in a technology-rich environment. Integral to the University's statewide land-grant mission, UMC provides applied, career-oriented learning programs and connects its teaching, research, and outreach to local, county, and regional economic development agencies in support of the rural economy.

As a result of research activity and spending by the University of Minnesota—Crookston, there

is significant economic, employment, and government revenue impacts generated throughout the state. In FY17, the economic impact of the Crookston campus totaled



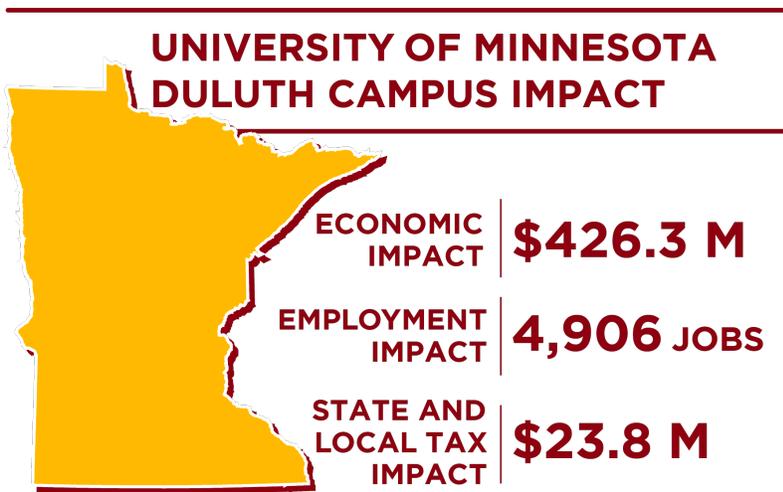
\$63.6 million. The employment impacts of the campus supported 763 jobs throughout the state. Considering the campus’s operations, an additional \$3.6 million was generated in state and local government revenue that is attributable to the Crookston campus.

### University of Minnesota—Duluth Campus Impact<sup>12</sup>

The University of Minnesota, Duluth (UMD), consistently ranks among the top regional universities. Overlooking Lake Superior, UMD provides an alternative to both large research and small liberal arts environments and attracts students looking for a personalized learning experience on a medium-sized campus of a major university. A

<sup>11</sup> Ibid.

<sup>12</sup> Ibid.

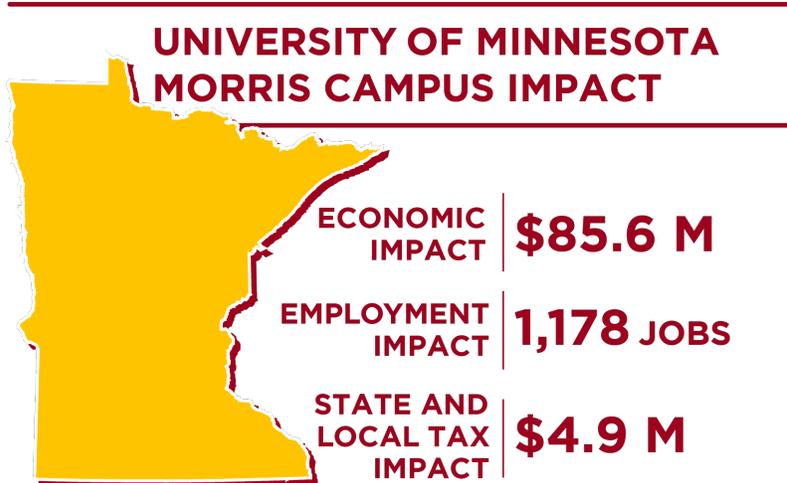


firm liberal arts foundation anchors a variety of traditional degree programs that draw on UMD’s many research institutes and labs. As a result of research activity and spending by the University of Minnesota—Duluth, there is significant economic, employment, and government revenue impacts

generated throughout the state. In FY17, the economic impact of the Duluth campus totaled \$426.3 million. The employment impacts of the campus supported 4,906 jobs throughout the state. Considering the campus’s operations, an additional \$23.8 million was generated in state and local government revenue that is attributable to the Duluth campus.

**University of Minnesota—Morris Campus Impact<sup>13</sup>**

The University of Minnesota, Morris (UMM) makes its home on a 121-year-old campus on the western edge of the state and is one of the top public liberal arts colleges in the nation. The small, close-knit campus emphasizes faculty/student collaboration in research, study abroad, and service learning. Deeply rooted in the tall grass prairies of Minnesota, the campus also has advanced sustainable, environmentally friendly initiatives that have grown to levels of national leadership and touch nearly all aspects of campus life.



<sup>13</sup> Ibid.

As a result of research activity and spending by the University of Minnesota—Morris, there is significant economic, employment, and government revenue impacts generated throughout the state. In FY17, the economic impact of the Morris campus totaled \$85.6 million. The employment impacts of the campus supported 1,178 jobs throughout the state. Considering the campus’s operations, an additional \$4.9 million was generated in state and local government revenue that is attributable to the Morris campus.

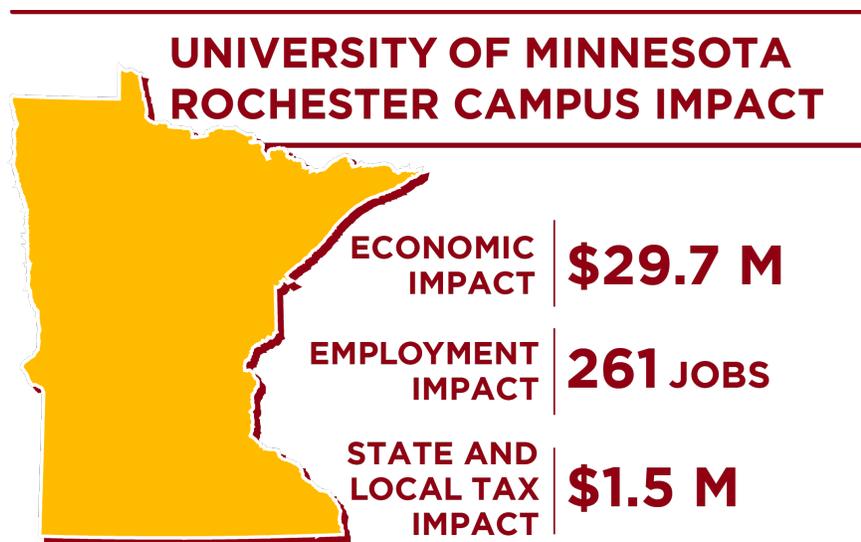
**University of Minnesota—Rochester Campus Impact<sup>14</sup>**

The University of Minnesota, Rochester (UMR), formally established in 2006, is the newest campus in the University of Minnesota system and serves the academic and professional needs of southeastern Minnesota. UMR provides graduate and undergraduate degrees and focuses on the areas of health sciences and biotechnology, preparing students for a broad spectrum of certification programs, professional schools, and graduate programs leading to careers in the health profession, as well as entry-level science and laboratory positions in industry, government agencies, and universities. It also offers programs in business, education, public health, and social work.

As a result of research activity and spending by the University of Minnesota—Rochester, there is significant economic, employment, and government revenue impacts generated

throughout the state. In FY17, the economic impact of the Rochester campus totaled \$29.7 million. The employment impacts of the campus supported 261 jobs throughout the state. Considering the campus’s operations, an additional \$1.5 million was generated in

state and local government revenue that is attributable to the Rochester campus.



<sup>14</sup> Ibid.

## **UMN Research Transforms the World**

As the state's major research university, the University of Minnesota plays an integral role in Minnesota's academic research and knowledge creation. As a globally engaged research institution and Minnesota's flagship research university, the University of Minnesota plays an integral role in the knowledge production and discovery needed to expand understanding of the world, improve how people live and work, and drive scientific and technological innovation. The UMN has a comprehensive, systemwide public engagement agenda focused on integrating and embedding outreach and public service into the University's research and teaching missions. As Minnesota's only comprehensive research and land-grant university, the University marshals wide-ranging strengths toward research collaborations addressing the most pressing and complex problems of the state and plays a critical role in developing human capital, creating innovation, and sharing knowledge advancing Minnesota business and industries, informing policymaking, and strengthening the well-being of families and communities. The University of Minnesota consistently ranks among the top 10 U.S. public research universities according National Science Foundation Higher Education Research and Development (NSF HERD) Survey, the primary source of comparative information on R&D expenditures at colleges and universities.

In FY17, the University of Minnesota attracted nearly \$745 million in external sponsored research funding, with federal funds making up 59 percent of the research portfolio. The University competes successfully for funds from a wide variety of federal agencies, including National Institutes of Health (\$244M), National Science Foundation (\$72M), Department of Defense (\$26 million), USDA (\$22 million, Department of Energy (\$15 million), and Department of Education (\$10 million). Research awards from business and industry (\$83.9 million) have also been on the rise, in both value and number of projects, reflecting the University's efforts to grow public-private partnerships and diversify its research portfolio. Companies located throughout the state draw upon the University's innovative resources.

As a result of research activity and spending by the University of Minnesota, there is significant economic, employment, and government revenue impacts generated throughout the state. In FY17, the direct and indirect economic impact of research conducted by faculty, staff, and students totaled \$1.2 billion.

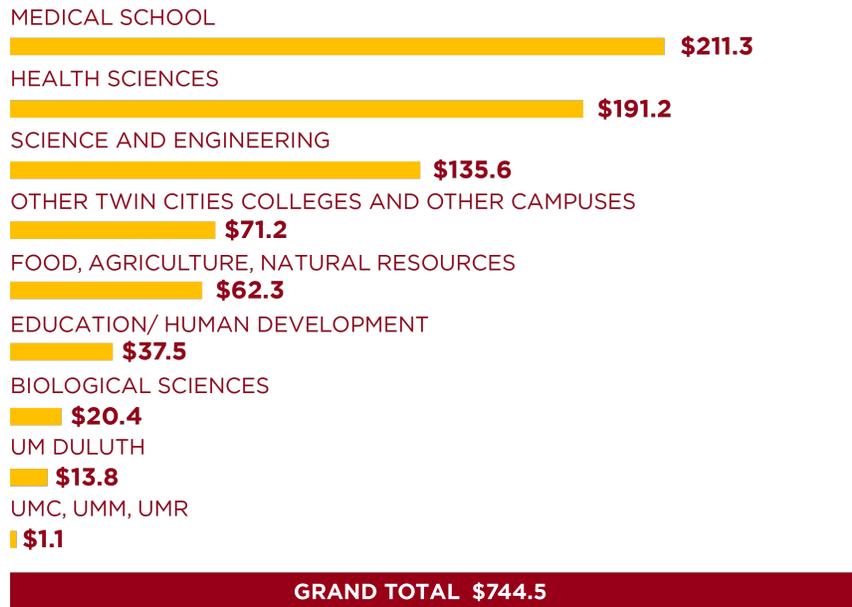
## Leading Centers

The University of Minnesota is home to over 300 research, education, and outreach centers and institutes, including but not limited to:

Agricultural Research Center	Institute on Community Integration
C-SPIN: Center for Spintronic Materials, Interfaces	Institute on the Environment
Caenorhabditis Genetics Center: NIH funded (P40 Infrastructure)	Large Lake Observatory
Cancer Center	Microbial Plant Genomics Institute
Cedar Creek Ecosystem Science Reserve	Minnesota Dental Research Center for Biomaterials and Biomechanics
Center for Aging Science & Care Innovation	Minnesota Invasive Terrestrial Plants and Pests Center
Center for Drug Design	Minnesota Population Center (IPUMS, Institute for Social Research and Data Innovation)
Center for Infectious Disease Research and Policy	Minnesota Supercomputing Institute
Center for Magnetic Resonance Research (CMRR)	Nano Center
Center for Regional & Tribal Child Welfare Studies	Natural Resources Research Institute (NRRRI)
Center for Small Towns	Neuromodulation Research Center:
Center for Sustainable Building Research	Polar Geospatial Center
Center for Sustainable Polymers (CSP)	Research Data Assistance Center (ResDAC)
Center for Transportation Studies	Research for Indigenous Community Health (RICH) Center
Center for Urban and Regional Affairs	Robina Institute of Criminal Law and Justice
Clinical and Translational Science Institute	Saint Anthony Falls Laboratory
Dairy Education Center	Specialized Center of Research on Sex Differences
Earl E Bakken Medical Devices Center	The Center for Research and Outreach: Military REACH (USDA)
Energy Transition Lab	University of Minnesota Center for Quantum Materials (USDOE)
Food Protection and Defense Institute	Upper Midwest Agricultural Safety and Health Center (U54 NIH Center)
Gary S. Holmes Center for Entrepreneurship	Urban Research and Outreach Engagement Center
Hormel Institute	
IMA	
Inorganometallic Catalyst Design Center (ICDC)	
Institute for Advanced Study	
Institute for Translational Neuroscience	

**AWARD DOLLARS BY COLLEGE/CAMPUS RECIPIENT IN FY 17**  
(IN MILLIONS)

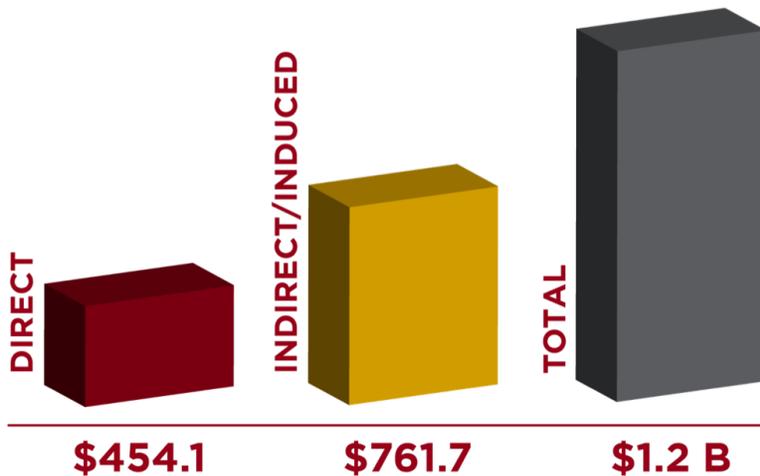
Health Sciences represents the School of Public Health (\$79.1 million), four other colleges (Dentistry, Nursing, Pharmacy, and Veterinary Medicine), and shared centers with the Academic Health Center (AHC).



**Research Generates Economic Impact**

The University’s research expenditures for FY17 totaled more than \$454 million which translates to an economic impact totaling more than \$1.2 billion. The impacts of the research can be seen and felt both in the state of Minnesota as well as throughout the

**OVERALL ECONOMIC IMPACT OF UMN RESEARCH**  
(IN MILLIONS)



nation with new product development and commercialization of the research findings.

The University’s research operations make tangible and quantifiable economic contributions. Not only do the research operations support a large portion of the University’s mission but they also support employment on campus and with research supporting organizations as well as promoting a culture of

Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.

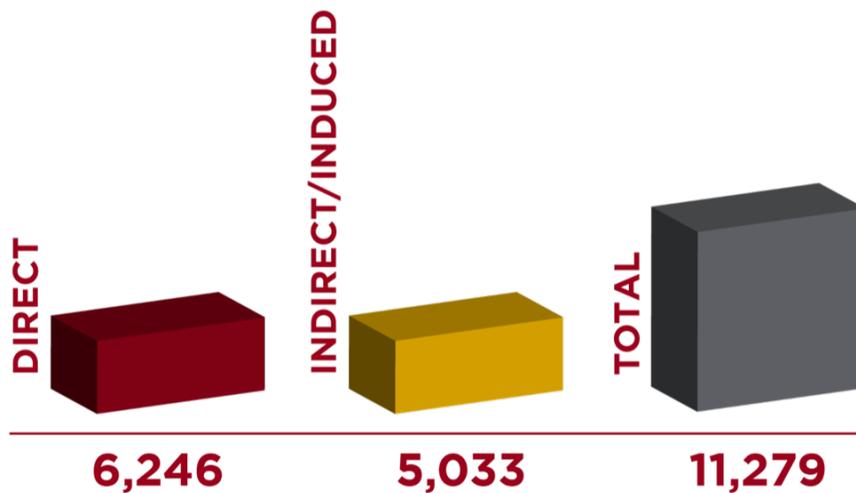
economic development, entrepreneurial nature, and commercial ventures in the local and statewide economy. The employment impact of these activities supported 11,279 jobs throughout the state.

In FY17, the operational and capital expenses that the University made for sponsored research and other sponsored programs supported 11,279 jobs, which equates to about 15 percent of the University's total employment impact of 77,911 jobs.

These jobs include not only direct employment by the University of Minnesota for research professionals, but also indirect jobs created by the University such as supply and equipment vendors, contractors, and laborers in the construction and renovation of laboratory facilities, administrators and managers who support the research infrastructure, and jobs created in the community by the spending of the scientific workforce. The University's research impacts are driven by the quality of the faculty, who are able to attract sponsored research in a wide range of fields. Attracting and

retaining highly productive faculty who are driven to discover is key to the University's continued role in helping to create good jobs in Minnesota. Considering the research component of the university, an additional \$60.5 million was generated in state and local government revenue that is attributable to the research activities of UMN.

### OVERALL EMPLOYMENT IMPACT OF UMN RESEARCH (IN JOBS)



Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.

## **Leveraging the Strengths of the University of Minnesota**

### **Minnesota's Discovery, Research and Innovation Economy (MnDRIVE)**

MnDRIVE is a partnership between the University and the State of Minnesota that aligns the University's strengths with the state's key and emerging industries. Starting in 2013, \$17.5 million in state funding was authorized each year for research across four MnDRIVE research areas: Robotics, Global Food, Environment, and Brain Conditions.

In the four years of activity thus far, funding has catalyzed projects involving more than 980 researchers across three campuses (Twin Cities, Duluth, and Morris), including more than 100 departments within dozens of colleges. For example, in the area of Brain Conditions, MnDRIVE support has helped the University attract a significant NIH-funded center on Parkinson's Disease and involvement in a new medical device trial.

### **Partnerships to the Challenges of Minnesota and the World**

Each of the five campuses serves the state through outreach and public engagement activities that connect faculty, staff, and students with a broad range of communities and stakeholders across the state. The University's Grand Challenges initiative recognizes opportunities and responsibilities the campus has to innovate and lead through transformative research and teaching engaged with the most pressing and complex challenges of Minnesota and the world. A strategic priority for the University, Grand Challenges jump-starts and expands ambitious interdisciplinary research in five interrelated areas in which the the University is positioned for great impact. The University has provided funding to seed and develop collaborations aimed at five grand challenges with high relevance for Minnesota communities: Assuring Clean Water and Sustainable Ecosystems; Fostering Just and Equitable Communities; Advancing Health Through Tailored Solutions; enhancing Individual and Community Capacity for a Changing World; and Feeding the World Sustainably.

### **Minnesota Partnership for Biotechnology and Medical Genomics**

The Minnesota Partnership for Biotechnology and Medical Genomics was formed in 2003 as a unique collaborative venture among The Mayo Clinic, The University of Minnesota, and The State of Minnesota. The idea was born out of a desire to elevate Minnesota's position in the area of bioscience research. The collaboration has become a globally-recognized model of innovation in the biomedical field.

The Partnership's focus is to:

- 🎯 Position Minnesota as a world leader in biotechnology and medical genomics
- 🎯 Conduct powerful research to improve life and stimulate Minnesota's economy
- 🎯 Achieve breakthroughs in new methods to accurately diagnose and develop innovative therapies for major disease areas
- 🎯 Create a pipeline for new industry, dynamic new businesses, and quality jobs
- 🎯 Maintain Minnesota's position as a destination for medical care and a leader in the medical industry

The Minnesota Partnership approaches its work with two goals in mind: improving health through the development of diagnostics and treatments for multiple high-profile diseases; and creating economic opportunity for Minnesota through an enhanced research and development base and commercialization of biomedical innovations.

In recent years, the Partnership has funded significant work in Alzheimer's disease and cancer. Previous research has led to successful licensing, patents, and other commercialization of discoveries including therapies for glaucoma, multiple sclerosis, type 2 diabetes, congestive heart failure, fungal infections, Alzheimer's disease, and various types of cancer. As of 2017 there have been over 62 patent filings, 12 patent filings still pending, 5 issued patents, more than 24 new technologies stemming from Partnership-funded projects, one licensed technology to an existing company, and one new start-up company.

### **Technology Commercialization**

UMN researchers continue to develop breakthrough technologies in science, engineering, medicine, agriculture, and other fields key to Minnesota's economy and to advancements in human health and well-being.

The Office for Technology Commercialization (OTC) helps researchers move their ideas beyond the lab and into the marketplace through intellectual property protection, marketing, connections with interested outside companies, license negotiations, and startup company creation.

- 🎯 OTC and other partners at the University have developed the Minnesota Innovation Partnerships (MN-IP) program, which is aimed at simplifying technology license agreements and facilitating sponsored research projects. The MN-IP Create program, launched in December 2012, has brought in more than \$2 million in licensing revenue, and over \$50 million in sponsored research funding. In FY17, MN-IP brought in over \$20 million to fund UMN research.

- The Venture Centre, a unit of OTC launched in 2006, has spun out 119 companies based on a diverse mix of University technologies. Three out of four startups are based in Minnesota and 78 percent are still active today.
- A 2017 Milken Institute study ranked the U of M 4th among US tech transfer offices in executing license deals and 6th among US public tech transfer offices overall.

### FY2017 START-UPS



### TECHNOLOGY COMMERCIALIZATION DATA (FY2017)

GENERAL DATA					
	2013	2014	2015	2016	2017
INVENTION DISCLOSURES	331	343	354	402	406
NEW LICENSES	91	154	268	194	213
CURRENT REVENUE GENERATING AGREEMENTS	331	429	544	528	545
GROSS REVENUES	\$39.50	\$27.40	\$20.20	\$46.90	\$22.60
OUTGOING MATERIAL TRANSFER AGREEMENTS	281	288	297	273	233
PATENTS					
	2013	2014	2015	2016	2017
ISSUED PATENTS (U.S. AND FOREIGN)	129	104	136	168	147
NEW PATENT FILINGS	148	138	146	202	232
MN-IP					
	2013	2014	2015	2016	2017
MN-IP RESEARCH AGREEMENTS	41	51	69	81	72
COMPANIES WITH MN-IP RESOURCE AGREEMENTS	38	44	54	62	51
SPONSORED RESEARCH COMMITMENTS	\$3.80	\$4.30	\$10.80	\$12.20	\$20.90
STARTUPS					
	2013	2014	2015	2016	2017
	14	15	16	17	18

### AGGREGATE INVESTMENT CAPITAL RAISED

\$ 3 9 7 , 9 2 0 , 0 0 0

## **A History of Innovation and Discovery**

Technology commercialization has been an essential part of the University of Minnesota's mission for many years. Some notable examples are:

Pacemaker

Honey Crisp Apples

Carbovir Compounds (foundation for AIDS medication)

Flight Data Recorder

Retractable Seat Belts

Taconite

Sleeping Beauty Transposition (pioneering gene transfer platform)

## **Economic Development**

The Office of University Economic Development (UED) was established in 2014 to help business and industry partners connect with University resources, services, and expertise, and to work with government and economic development partners to identify opportunities for collaboration that grow and diversify Minnesota's economy. In 2015, the Association of Public and Land-Grant Universities (APLU) recognized the University for its commitment to state and regional economic development.

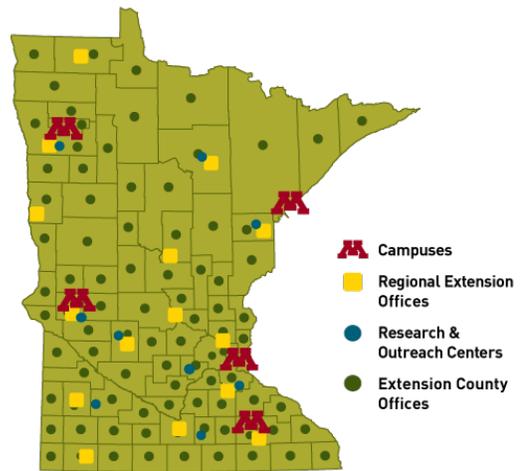
## **University of Minnesota Research and Outreach Centers**

The College of Food, Agricultural and Natural Resource Sciences (CFANS) at the University of Minnesota coordinates the 10 UMN Research and Outreach Centers (ROCs) throughout the state. The centers support applied research techniques and best practices to communities and regions across Minnesota to enhance the quality of agricultural production, human health, renewable energy, and the environment.

University of Minnesota Research and Outreach Centers are geographically spaced throughout the state and together include more than 10,000 acres of land dedicated to field and horticultural crop improvement, forestry, ecological preservation and restoration, wildlife management, livestock improvement, soil fertility and health, climate adaptation, water quality, and utilization research and outreach in each one of the four biomes across the state.

The ROCs include the following sites:

- 📍 Cloquet Forestry Center
- 📍 North Central Research and Outreach Center
- 📍 Northwest Research and Outreach Center
- 📍 Southern Research and Outreach Center
- 📍 Southwest Research and Outreach Center
- 📍 West Central Research and Outreach Center
- 📍 Rosemount Research and Outreach Center
- 📍 Horticultural Research Center
- 📍 Sand Plain Research Center
- 📍 Hubachek Center



As a result of research activity and spending by the University of Minnesota, there is significant economic, employment, and government revenue impacts generated throughout the state. In FY17, the economic impact of UMN Research and Outreach Centers totaled \$74.2 million. The employment impacts of these activities supported 740 jobs throughout the state. Considering the activities performed at ROCs, an additional \$3.5 million was generated in state and local government revenue that is attributable to research activities at UMN Research and Outreach Centers. The ROCs more broadly serve the state as a source of science-based responses and advances that dramatically improve productivity and use of resources, contributing to statewide economic development.

### **UMN Libraries**

University Libraries serve as the state's only research libraries; they develop and deliver high-demand services and programs to all 5.5 million Minnesota residents. Their archives and special collections serve several distinct, off-campus communities. With a goal of equitable and open access, the Libraries share rich resources with a global audience ([www.continuum.umn.edu/2017/05-we-won](http://www.continuum.umn.edu/2017/05-we-won)). In 2017, the University Libraries received the National Medal for Museum and Library Science from the Institute of Museum and Library Services (MILS) in recognition of their efforts to respond to societal needs in innovative ways, making a difference for individuals, families, and their communities. The University Libraries were the only academic library to win the National Medal this year.

## Regional Extension Offices Provide Vital Outreach

University of Minnesota Extension provides innovative research that transforms the lives of all Minnesotans, ensuring a better future for all. Since 1909, UMN Extension has played a critical role in the development of Minnesota's identity as a national leader in research and community outreach. Extension is part of a national association, of more than 100 land-grant institutions, that provides non-formal education and learning activities to people throughout the country. Through Extension, land-grant institutions deliver vital information to agricultural producers, small business owners, consumers, families, and young people to create positive change<sup>15</sup>. UMN's focus on agriculture, community, environment, family, food, and youth cultivates exceptional progress for the state. UMN Extension operates 15 Regional Extension Offices that conduct agricultural, biological, and forestry research, in addition to having contacts in every county throughout the state<sup>16</sup>. Extension connects faculty, researchers, and students with key stakeholders in the community to address critical issues that contribute to economic vitality and success.

### Economic Impact

UMN Regional Extension Offices provide important economic activity throughout Minnesota. Direct spending by Regional Extension Offices to vendors and employees helps to generate additional spending in the area as well as throughout the state. These activities affect Minnesotans each day as Extension works to improve life for all. In FY17, UMN Regional Extension Offices generated more than \$12.1 million in economic impact for the state of Minnesota. This total represents the direct impact of spending in the state (\$5 million), as well as the indirect spending that occurs as a result of the presence of Regional Extension Offices (\$7.1 million).

### Employment Impact

In FY17, UMN Regional Extension Offices directly supported 628 jobs (full-time and part-time) throughout Minnesota. This employment makes a direct contribution to the overall workforce vitality of the state and bolsters the economy. Those directly employed spend dollars in the state, and therefore, support additional employment. UMN Regional Extension Offices' spend money on capital projects, development and planning projects, and suppliers support additional indirect jobs throughout the state. In total, the presence of UMN Regional Extension Offices supports 1,077 jobs in the state of Minnesota.

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<sup>15</sup> National Institute of Food and Agriculture – Extension; <https://nifa.usda.gov/extension>

<sup>16</sup> UMN Regional Extension Offices are located in Andover, Brainer, Cloquet, Crookston, Farmington, Grand Rapids, Mankato, Marshall, Moorhead, Morris, Rochester, Roseau, St. Cloud, Willmar, and Worthington.

## **State and Local Government Revenue Impact**

The University of Minnesota's Regional Extension Offices contribute significantly to the state and local tax bases. Due to the Regional Extension Offices' spending with state and local organizations, their support of jobs for university employees living in Minnesota, and their visitor spending, these offices contribute to state and local tax revenues. In FY17, UMN Regional Extension Offices generated more than \$650,000 in direct and indirect/induced tax payments in Minnesota for state and local governments.

## **Regional Extension Offices Provide Critical Research to Minnesotans**

The University of Minnesota's Regional Extension Offices provide a conduit for faculty, students, and other researchers to work on topics and causes that impact the world. Flagship Extension programs include:<sup>17</sup>

- Agricultural production – Extension partners with the agricultural industry to increase and improve crop and livestock production while conserving land and water across Minnesota. This engagement includes collaborative faculty, staff, and student research with producers and crop professionals, as well as traditional outreach methods.
- Citizen Science – Extension's large volunteer-driven programs such as Master Gardeners and Master Naturalists engage more than a million Minnesotans every year. Volunteers taught by Extension faculty share their research-based knowledge with the public, thus 'extending' Extension's impact.
- Community Economics – Extension's Community Economics team works with Minnesota communities to chart courses that are realistic, well-informed and supported by the community. Educators consult with regions and communities to address issues such as retaining and expanding local businesses, understanding economic changes, and tourism and retail trade.
- 4-H – In 4-H, youth design and participate in their own education and activities, from raising dairy cows to building rockets or performing onstage. This unique, learn-by-doing model teaches young people essential skills needed to succeed in life, such as problem-solving, decision-making, coping, communicating, and responding to the needs of others. 4-H is delivered throughout Minnesota in urban, suburban, and rural communities. With 130,000 annual youth participants, 4-H reaches nearly 13% of all Minnesota youth between the ages of 5-19.

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<sup>17</sup> UNM Extension Strategic Plan and Fact Sheets; Extension Programs; <http://www.extension.umn.edu/about/facts/>

- Science of Agriculture – Minnesota 4-H’s major initiative in Science, Technology, Engineering and Math (STEM) helps youth become the next generation of scientists, engineers, and technology experts by actively engaging in programs including aerospace, biofuels, robotics, wildlife biology, and wind power.
- Farm-to-School – Extension works to increase the use of healthy, local foods in schools through farm-to-school programs and working collaboratively with state agencies, non-profits, and professional associations. Extension and its partners provide schools with training and other resources to increase the use of Minnesota-grown food in school meals.
- Global Initiatives – Extension engages with scientists, teachers, and students around the world to build a network of professionals who can share their expertise. Current efforts are funded through partnership with the U.S. Department of Agriculture, grants from other partners, and donor gifts.
- Nutrition Education – Through the federally funded Supplemental Nutrition Assistance Program (SNAP) education program, Extension delivers creative, engaging nutrition education to low-income Minnesotans where it is convenient for them. Classes are offered in many community settings, including food shelves, WIC clinics, senior citizen centers, daycare centers, shelters, migrant centers, summer camps, low-income housing, grocery stores, and even in homes. The fun, innovative curriculum is customized to the needs of a diverse audience. By promoting good nutrition in children, Extension’s community nutrition educators help prevent future health problems for participants.
- Farm Financial Training – Through the Farmer-Lender Mediation program and Extension’s farm financial management programs, Extension helps agricultural producers manage their finances. The program connects farmers and their creditors with a team of mediators, financial analysts, and University of Minnesota Extension professionals to find solutions to financial crises. In addition, Extension agricultural business management programs provide research-based information that helps growers increase their knowledge about financial management, marketing and crop insurance, estate planning, farm transfers, and farmland and machinery acquisition.
- Water Quality – University of Minnesota researchers and Extension educators discover scientific answers to questions about protecting and improving water resources – helping homeowners, farmers, local decision-makers, construction managers, and landscape professionals make informed decisions on water quality.

## **M Health Sustains the State’s Healthcare Industry**

For the purposes of this economic impact study, University of Minnesota Health (M Health) is defined as the combined operations of the University of Minnesota Medical Center (UMMC), University of Minnesota Physicians (UMP), University of Minnesota Masonic Children's Hospital, and a number of free standing clinics and ambulatory surgery centers located throughout the state. M Health serves Minnesotans at the state and local levels, and builds upon the University’s mission to apply knowledge that benefits the people of the state, the nation, and the world.

### ***University of Minnesota Medical Center***

The University of Minnesota Medical Center (UMMC) is the main research and teaching hospital for UMN’s Medical School. Having two campus locations, one on each bank of the Mississippi River, UMMC is a world renowned medical center that serves Greater Minnesota. The center is owned and operated by Fairview Health Services, and works closely with University of Minnesota Physicians and community partners to provide care. UMMC practices a wide array of health care delivery, but areas of specialization include organ, blood, and marrow transplantation, neurosciences, pediatrics, and behavioral illnesses.

### ***University of Minnesota Physicians UMP<sup>18</sup>***

University of Minnesota Physicians (UMP) is an independent multi-specialty group practice at the University of Minnesota Medical School faculty. The group specializes in interdisciplinary primary care services that provide patients with a full range of managed care. Established in 1997, UMP manages more than 50 specialty clinics and five family medicine clinics and employs more than 900 physicians and 1,600 health professionals and staff. In addition to practicing medicine, these physicians continue to play a vital role in the advancement of academic medicine at the school. UMP has strategic partnerships with community health care providers at the following locations: University of Minnesota Medical School, Fairview Health Services, Masonic Children’s Hospital, Park Nicollet, Regions Hospital, North Memorial Hospital, TRIA Orthopedic Center, and many more.

### ***University of Minnesota Masonic Children’s Hospital***

The University of Minnesota Masonic Children's Hospital is an award winning research and teaching hospital located in Minneapolis, MN. U.S. News & World Report ranked the University of Minnesota Masonic Children’s Hospital in its 2017 Best Children’s Hospital list for five specialty areas: Neonatology (ranked 33<sup>rd</sup>); Pediatric Diabetes and Endocrinology (ranked 48<sup>th</sup>); Pediatric Gastroenterology and GI Surgery (ranked 39<sup>th</sup>);

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<sup>18</sup> University of Minnesota Physicians Mission and Leadership; <https://umphysicians.org/mission-and-leadership/advancing-medicine>

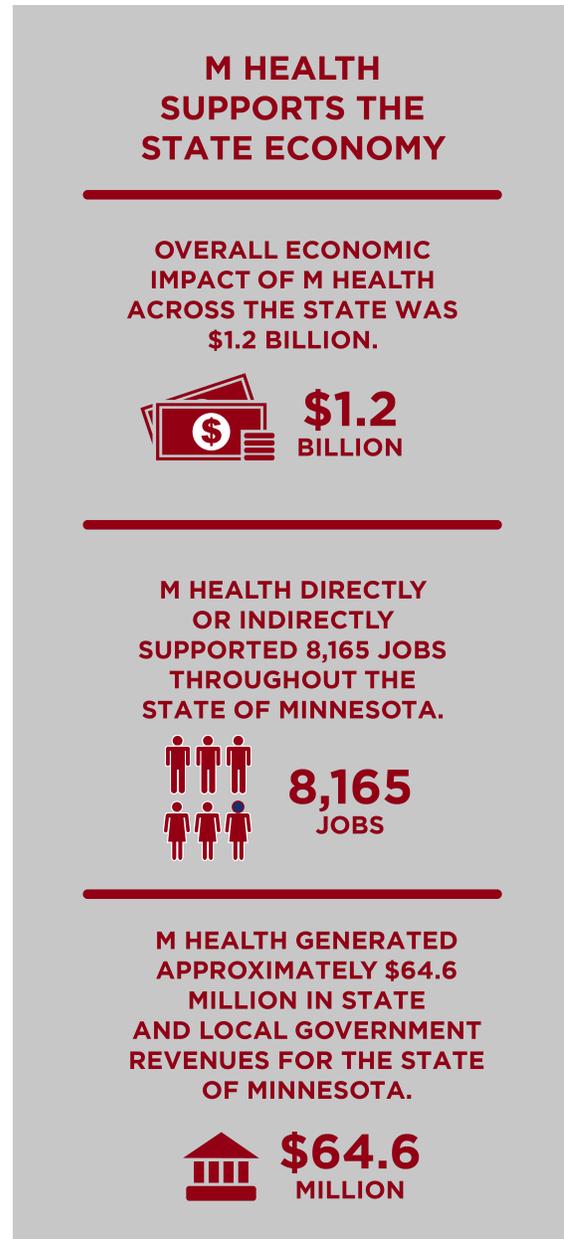
Pediatric Nephrology (ranked 31<sup>st</sup>); and Pediatric Pulmonology (ranked 34<sup>th</sup>)<sup>19</sup>. As a pioneer in children’s health care delivery, Masonic Children’s Hospital partners directly with UMN to engage in innovative research that has led to several firsts, including the first successful pediatric blood marrow transplant, the first successful infant heart transplant in Minnesota and the first successful cochlear ear implant surgery for a child.<sup>20</sup>

### **Economic Impact**

Each day, M Health offers a broad range of primary and specialty care services for children, teens and adults. These services provide important economic impact throughout Minnesota. Economic impact is generated by M Health when it spends on goods and supplies, when patient care is provided, and when it pays its employees. In FY17, M Health generated more than \$1.2 billion in economic impact for the state of Minnesota. This total represents direct spending in the state (\$491.1 million), as well as the indirect spending that occurs as a result of the presence of M Health (\$673.6 million).

### **Employment Impact**

In FY17, M Health directly supported 3,599 jobs (full-time and part-time) throughout Minnesota. This employment makes a direct contribution to the overall workforce vitality of the state and bolsters the economy. Those directly employed spend dollars in the state, and therefore, support additional employment. M Health spending on capital projects, development, planning projects, and suppliers support additional indirect jobs



<sup>19</sup> U.S. News & World Report 2017 Pediatric Hospital Rankings by Specialty; <https://health.usnews.com/best-hospitals/pediatric-rankings>

<sup>20</sup> Fairview Health System, University of Minnesota Masonic Children’s Hospital; <https://www.fairview.org/locations/university-of-minnesota-masonic-childrens-hospital>

throughout the state. In total, the presence of M Health supports 8,165 jobs in the state of Minnesota.

### **State and Local Government Revenue Impact**

M Health contributes significantly to the state and local tax bases. Revenue is generated when M Health and its employees, health professional students, patients and visitors spend on goods in the region (e.g., at restaurants, retail, hotels/motels, etc.). In FY17, M Health generated more than \$64.6 million in direct and indirect/induced tax payments in Minnesota for state and local governments.

## UMN Outreach and Engagement Strengthens Minnesota

With outreach and public service as one pillar of its mission, the University of Minnesota is committed to extending, applying, and exchanging knowledge between the University, the state, and society—integrating scholarly expertise with community needs to strengthen Minnesota communities and address the important needs and challenges of the state and world.<sup>21</sup> The state’s local economies have been significant beneficiaries of the University’s outreach delivered through units including Extension and the Research and Outreach Centers (ROCs) (as documented elsewhere in this report). Outreach and engagement activities of many other University units also are found in every part of the state and engage a wide range of partners. Beyond the ROCs and Extension, the University has many engagement-focused research-and-outreach centers that advance the socioeconomic vitality of the region and state, including but not limited to the Center for Urban and Regional Affairs, the Center for Transportation Studies, the Community-University Health Care Center, and the Urban Research and Outreach Engagement Center in North Minneapolis.

The University has been recognized as a leader in building a more “engaged university” through the advancement of a 21<sup>st</sup>-century approach to university outreach emphasizing reciprocal partnerships for addressing community needs and the strong integration of research and teaching.

UMN employees and students engage with community members through endeavors that link research and curricular work with stakeholders and constituencies across the state, from business and industry to government agencies, nonprofits, and arts organizations. Community-partnered research, service-learning, and curricular-linked activities focus on advancing economic development and many other needs. Data collected through a systemwide Public Engagement Network show that the University’s schools and centers conduct outreach and engagement in the areas of arts, business/industry development, community economic development, disaster relief, diversity and inclusion, education, environment, health, homelessness, immigration, poverty, public policy, rural development, transportation, workforce development, and youth development. These efforts are supported by University investments as well as external research funding, and reflect the University’s broader impact on the economic and social vitality of the state.

The University continues to explore ways to optimize community-engaged learning experiences for undergraduate, graduate, and professional students in ways that not only enhance students’ educational experiences but also meet vital needs across the

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<sup>21</sup> History of the University of Minnesota; <https://r.umn.edu/node/511>

state. A growing number of departments and colleges are requiring students to complete community outreach activities that are integrated with the academic curriculum and degree expectations. For example:

- Undergraduate students in the College of Food, Agricultural and Natural Resource Sciences (CFANS) must complete an experiential learning experience, which often includes community-based learning activities.
- UMR students address health issues through a community-based, interdisciplinary service-learning experience.
- Humphrey School of Public Affairs graduate students complete a community-based master's thesis that addresses a community-focused policy issue.
- Second-year medical students complete a community-based service-learning experience to cultivate intercultural competence and professional skills.
- Dental students provide pro-bono dental services to areas across the state that have limited or no access to dental care services.

Although no one metric can capture the quality or impact of the University's public service activities, the University tracks expenditures on public service activities as one indicator of its excellence in fulfilling its mission for the state, as it does for expenditures on research activities. In 2015–16, for example, public service expenditures as measured by the University's Office of Institutional Research were \$258 million, exceeding the systemwide goal of \$245 million.

Employees and students also engage with communities through volunteer service and charitable donations. Tripp Umbach estimates that University of Minnesota employees and students generate more than \$131.4 million annually in charitable donations and volunteer services across the state of Minnesota. These benefits are in addition to the more than \$8.7 billion in economic impact that UMN generates for the state. As part of the systemwide agenda for public engagement coordinated by the Office for Public Engagement, the Center for Community-Engaged Learning works with partners to provide opportunities for students to engage in off-campus experiential learning through community work and place-based educational programs. In FY17, Tripp Umbach estimates that UMN employees and students provided the equivalent of

\$103.6 million in volunteer hours in local communities.<sup>22</sup> Examples of these organizations include the following:

- **Land of 10,000 Stories** – The College of Liberal Arts provide college students and faculty the opportunity to teach students in several local schools how to make digital stories as a way of empowering them to tell their own story. This successful program enables students in middle and high schools to present their own thoughts in a constructive and creative way that effectively makes a point. Participants in this program have met with Minnesota State legislators to discuss issues such as bullying, sexual assault, drug use, and climate change.
- **HOPE Clinic** – Opened in 2008, The HOPE Clinic is a free, student-run clinic that is operated by medical and pharmacy students from the University of Minnesota Medical School, Duluth campus. The clinic offers patients an opportunity to receive health care and become regular patients. The clinic is staffed by medical and pharmacy student volunteers that are under the supervision of licensed physicians and pharmacists. University of Minnesota family medicine faculty serve as directors of the clinic.
- **University of Minnesota Alumni Association Day of Service** – Created in 2015, UMN’s Alumni Association hosts this annual day of service that engages alumni, faculty, and students in service to the community. This event occurs locally and across the United States each year.
- **University of Minnesota Community Fund Drive** – The Community Fund Drive is UMN’s annual charitable giving campaign for employees to donate a portion of their payroll to important causes that they care about.

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<sup>22</sup> Tripp Umbach calculated the total community benefit of employees by using the combined impacts of employees’ and students’ monetary donations to organizations and the value of a volunteer hour in Minnesota (\$26.10 per hour). [https://www.independentsector.org/volunteer\\_time](https://www.independentsector.org/volunteer_time)

## UMN Students and Alumni Impact Minnesota

With more than 580,000 alumni, the University can be felt in virtually every corner of the world. By producing highly educated, engaged, global citizens, UMN continues to shape a skilled workforce that will transform and lead organizations throughout the world.

### UMN Enriches the Current and Future Workforce

UMN conferred more than 16,000 total undergraduate, graduate, and professional degrees during FY17, including over 1/4 of the state's STEM degrees, 79% of MD degrees, and 100% of Minnesota's pharmacy, veterinary medicine, and dentistry degrees. By educating students, UMN contributes to the talent pool of human capital throughout the state. A degree from the University of Minnesota increases a graduate's value, productivity, and earning potential in the job market.

Based on data for median annual earnings, a bachelor's degree earned at a university increases a graduate's salary, compared with a graduate with only a high school diploma, by an average of about \$21,100 a year (from \$35,400 to \$56,500). A master's degree earned at a university increases a graduate's salary, compared with a graduate with only a bachelor's degree, by an average of about \$13,500 a year (from \$56,500 to \$70,000 for a master's degree).<sup>23</sup>

In academic year 2016–2017, UMN awarded 10,446 undergraduate degrees. Historically, 61 percent of UMN graduates remain in the state to work after completing their degrees. For the undergraduate class of 2017, the increased earning power in their first year of employment equates to the creation of \$136.9 million in salary for these students. A similar analysis applied to the 5,184 advanced degrees awarded in the same academic year equates to another \$52.1 million of value created for these students' first year of employment. Therefore, on an annual basis, UMN creates \$189 million of additional earning power for members of each graduating class. This impact is in addition to the impact of the university's operations. This increased earning power translates to increased spending by alumni in the state of Minnesota.

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<sup>23</sup> College Board. Education Pays 2013: The Benefits of Higher Education for Individuals and Society. Trends in Higher Education Series.

## **Alumni Continue to Generate Impact Every Day**

The contributions of UMN graduates are important to the economic vitality of the state of Minnesota. Historically, 61 percent of UMN alumni stay in Minnesota after graduating; approximately 356,000 UMN alumni are living, working, and generating impact within the state.

Over a lifetime of employment (assuming 40 years of employment), UMN undergraduate alumni who remain in Minnesota increase earning potential by \$188.9 billion that would otherwise have been unachieved had these students not pursued an undergraduate degree. Likewise, over a lifetime of employment, UMN graduate alumni who remain in the state increase earning potential by more than \$67.1 billion that would otherwise not have been achieved had these students not pursued a graduate degree<sup>24</sup>.

In total, all UMN alumni currently living in the state of Minnesota have increased earning power of \$256 billion over 40 years.

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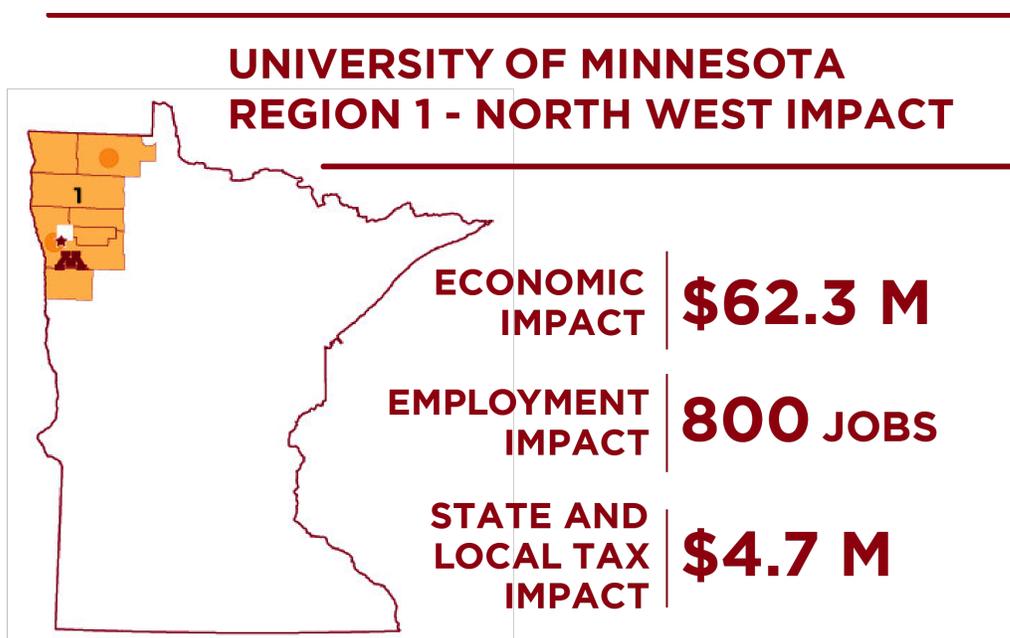
<sup>24</sup> Accounting for forgone income while attending the university, future periods of unemployment, time out of the labor force for child rearing, and other life events, total earning power over 40 years of employment was adjusted down by 80 percent.

## Generating Impact throughout the State

The University of Minnesota generates economic and community impact throughout the state in localized regions. The Minnesota Department of Employment and Economic Development (DEED) functions as the state's main economic development agency that works to produce jobs and improve the state's workforce. DEED categorizes Minnesota's 87 counties into 13 economic development regions, which aim to collectively develop similar county clusters. UMN's impact is unique to each region, and touch the lives of those who live there.

### Economic Development Region 1: Northwest

Located in the upper northwest of Minnesota, Region 1 includes the following counties: Kittson, Marshall, Norman, Pennington, Polk, Red Lake, and Roseau. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The Northwest Region includes the following UMN entities: Minnesota Area Health Education Center—Northwest, Northwest Research and Outreach Center at Crookston, Regional Extension Office—Crookston, Regional Extension Office—Roseau, and the University of Minnesota—Crookston.



#### *Economic Impact*

In FY17, the University of Minnesota generated more than \$62.3 million in total economic impact throughout Economic Development Region 1. This total represents

the direct impact of spending in the Northwest Region (\$24.7 million) as well as the indirect spending that occurs as a result of UMN's presence (\$37.6 million).

**Employment Impact**

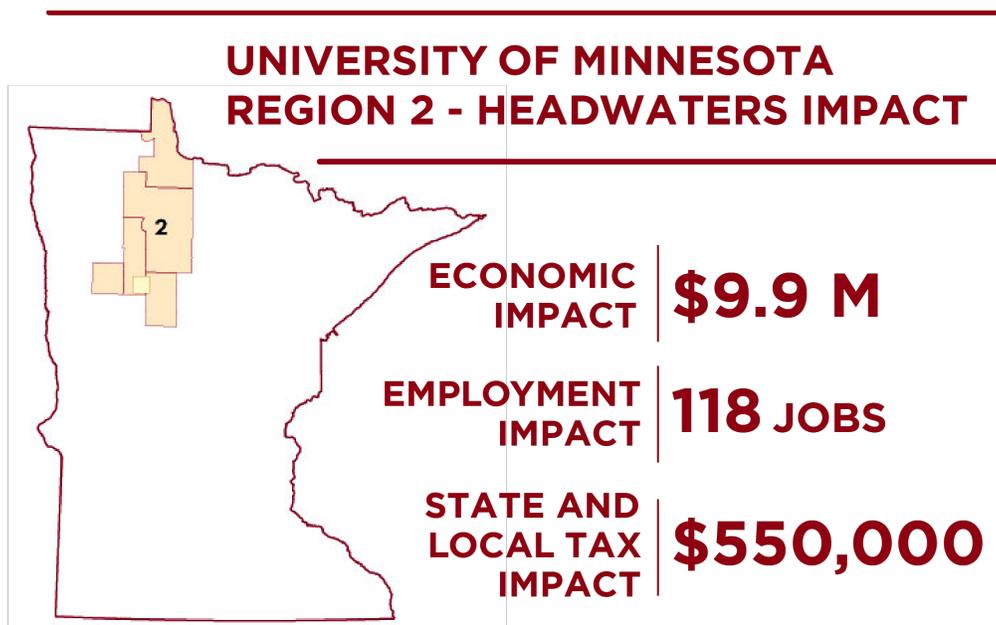
In FY17, UMN directly supported 375 jobs (full-time and part-time) throughout the Northwest Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 800 jobs throughout Region 1.

**State and Local Government Revenue Impact**

Due to the University of Minnesota's spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$4.7 million in direct, indirect, and induced tax payments for the Northwest Region.

**Economic Development Region 2: Headwaters**

Located in the upper northwest of Minnesota, Region 2 includes the following counties: Beltrami, Clearwater, Hubbard, Lake of the Woods, and Mahnommen. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact.



### ***Economic Impact***

In FY17, the University of Minnesota generated more than \$9.9 million in total economic impact throughout Economic Development Region 2. This total represents the direct impact of spending in the Headwaters Region (\$6 million) as well as the indirect spending that occurs as a result of UMN's presence (\$3.9 million).

### ***Employment Impact***

In FY17, UMN directly supported 84 jobs (full-time and part-time) throughout the Headwaters Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 118 jobs throughout Region 2.

### ***State and Local Government Revenue Impact***

Due to the University of Minnesota's spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$550,000 in direct, indirect, and induced tax payments for the Headwaters Region.

## **Economic Development Region 3: Arrowhead**

Located in the upper northeast of Minnesota, Region 3 includes the following counties: Aitkin, Carlton, Cook, Itasca, Koochiching, Lake, and St. Louis. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The Arrowhead Region includes the following UMN entities: Cloquet Forestry Center, Hubachek Wilderness Research Center at Ely, Minnesota Area Health Education Center—Northeast, North Central Research and Outreach Center at Grand Rapids, Regional Extension Office—Cloquet, Regional Extension Office—Grand Rapids, Regional Extension Office—Cloquet, and the University of Minnesota—Duluth.

### ***Economic Impact***

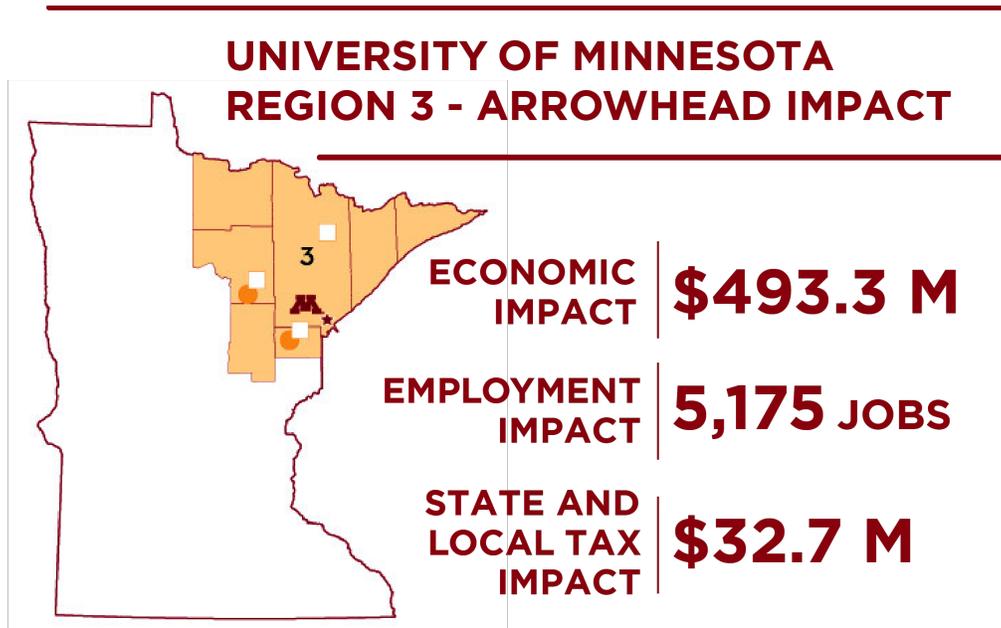
In FY17, the University of Minnesota generated more than \$483.3 million in total economic impact throughout Economic Development Region 3. This total represents the direct impact of spending in the Arrowhead Region (\$201.2 million) as well as the indirect spending that occurs as a result of UMN's presence (\$282.1 million).

**Employment Impact**

In FY17, UMN directly supported 2,577 jobs (full-time and part-time) throughout the Arrowhead Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 5,175 jobs in Region 3.

**State and Local Government Revenue Impact**

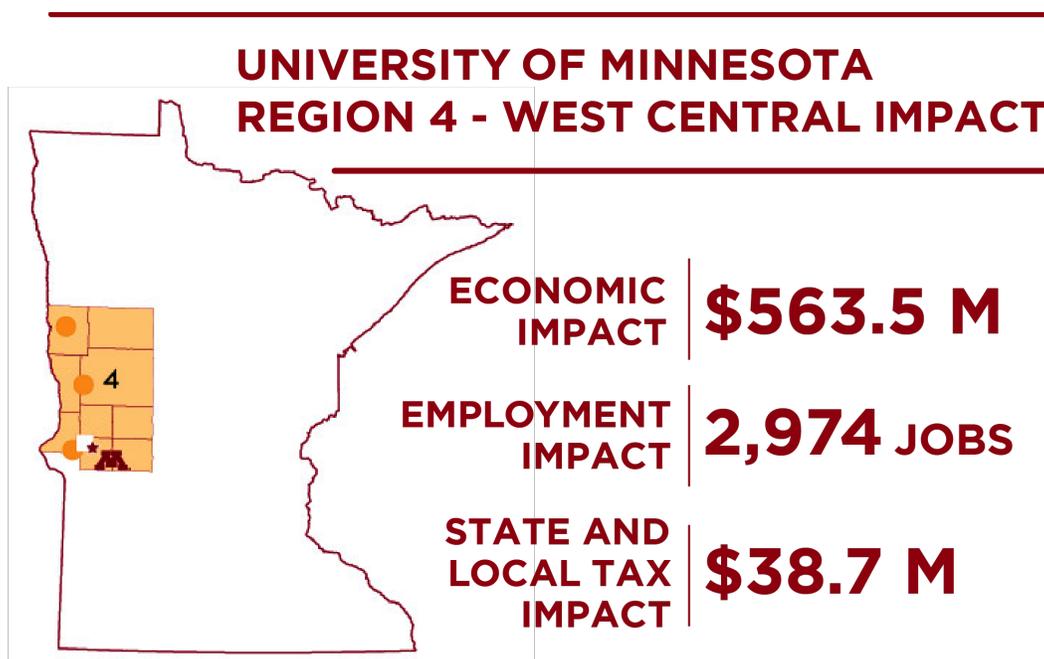
Due to the University of Minnesota’s spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$32.7 million in direct, indirect, and induced tax payments for the Arrowhead Region.



**Economic Development Region 4: West Central**

Located on the western boarder of Minnesota, Region 4 includes the following counties: Becker, Clay, Douglas, Grant, Otter Tail, Pope, Stevens, Traverse, and Wilkin.

Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The West Central Region includes the following UMN entities: Minnesota Area Health Education Center—Central, Regional Extension Office—Moorhead, Regional Extension Office—Morris, the University of Minnesota—Morris, and West Central Research and Outreach Center at Morris.



***Economic Impact***

In FY17, the University of Minnesota generated more than \$563.5 million in total economic impact throughout Economic Development Region 4. This total represents the direct impact of spending in the West Central Region (\$312.5 million) as well as the indirect spending that occurs as a result of UMN’s presence (\$251 million).

***Employment Impact***

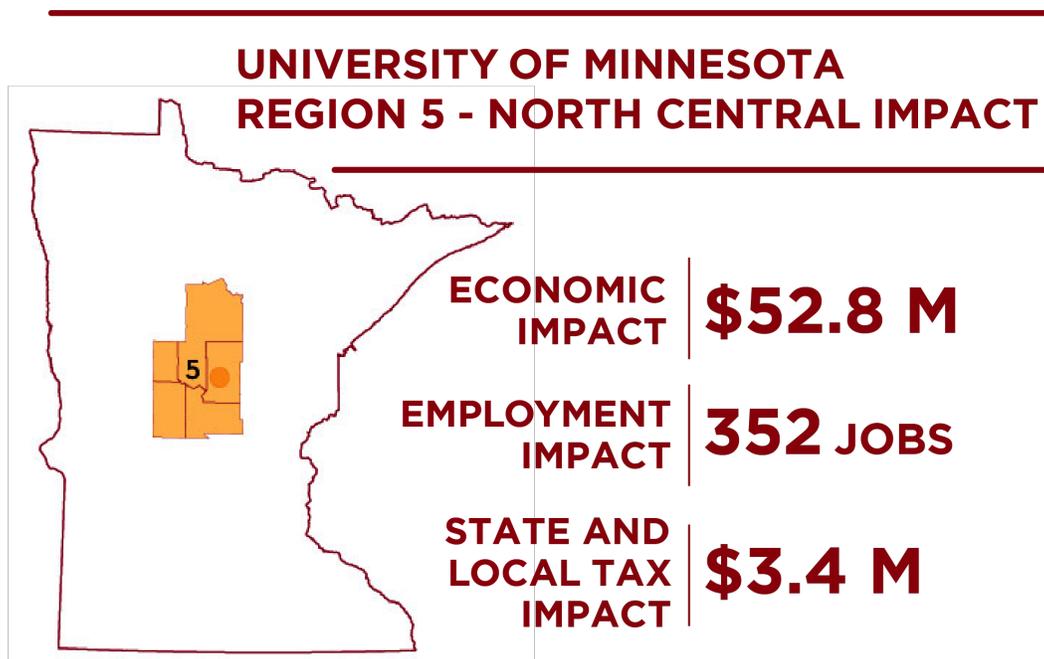
In FY17, UMN directly supported 709 jobs (full-time and part-time) throughout the West Central Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 2,974 jobs in Region 4.

**State and Local Government Revenue Impact**

Due to the University of Minnesota’s spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$38.7 million in direct, indirect, and induced tax payments for the West Central Region.

**Economic Development Region 5: North Central**

Located in the center of Minnesota, Region 5 includes the following counties: Cass, Crow Wing, Morrison, Todd, and Wadena. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The North Central Region includes the following UMN entities: Regional Extension Office—Brainerd.



### ***Economic Impact***

In FY17, the University of Minnesota generated more than \$52.8 million in total economic impact throughout Economic Development Region 5. This total represents the direct impact of spending in the North Central (\$30.2 million) as well as the indirect spending that occurs as a result of UMN's presence (\$22.6 million).

### ***Employment Impact***

In FY17, UMN directly supported 151 jobs (full-time and part-time) throughout the North Central Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 352 jobs in Region 5.

### ***State and Local Government Revenue Impact***

Due to the University of Minnesota's spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$3.4 million in direct, indirect, and induced tax payments for the North Central Region.

## **Economic Development Region 6E: Southwest Central**

Located in the center of Minnesota, Region 6E includes the following counties: Kandiyohi, McLeod, Meeker, and Renville. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact.

### ***Economic Impact***

In FY17, the University of Minnesota generated more than \$9.6 million in total economic impact throughout Economic Development Region 6E. This total represents the direct impact of spending in the Southwest Central Region (\$5.5 million) as well as the indirect spending that occurs as a result of UMN's presence (\$4.1 million).

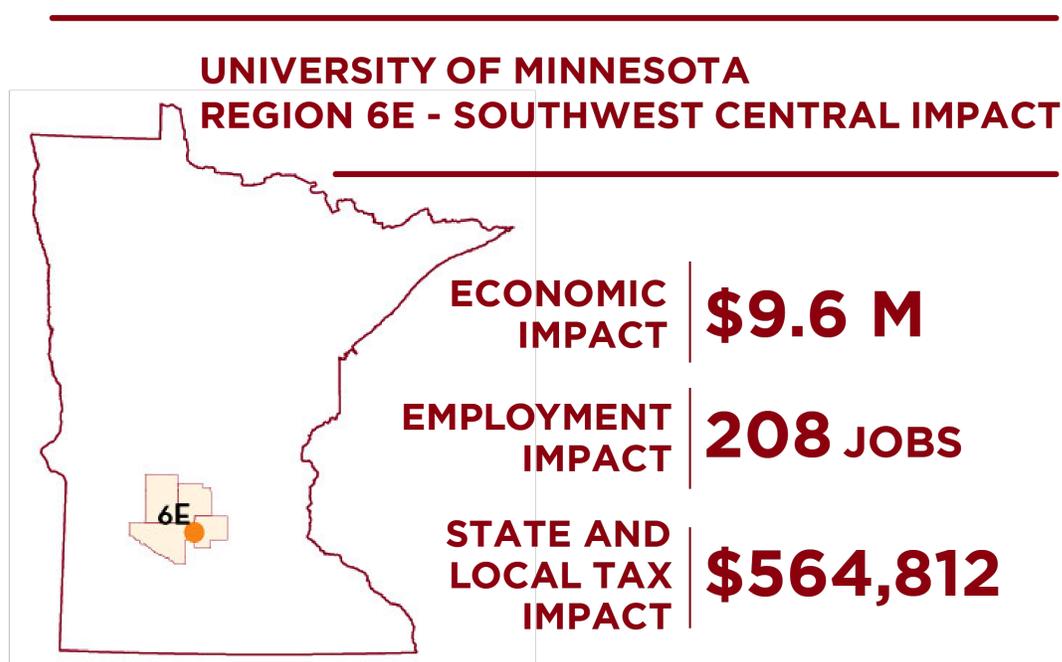
### ***Employment Impact***

In FY17, UMN directly supported 170 jobs (full-time and part-time) throughout the Southwest Central Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment.

UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 208 jobs in Economic Development Region 6E.

**State and Local Government Revenue Impact**

Due to the University of Minnesota’s spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$564,800 in direct, indirect, and induced tax payments for the Northwest Region.



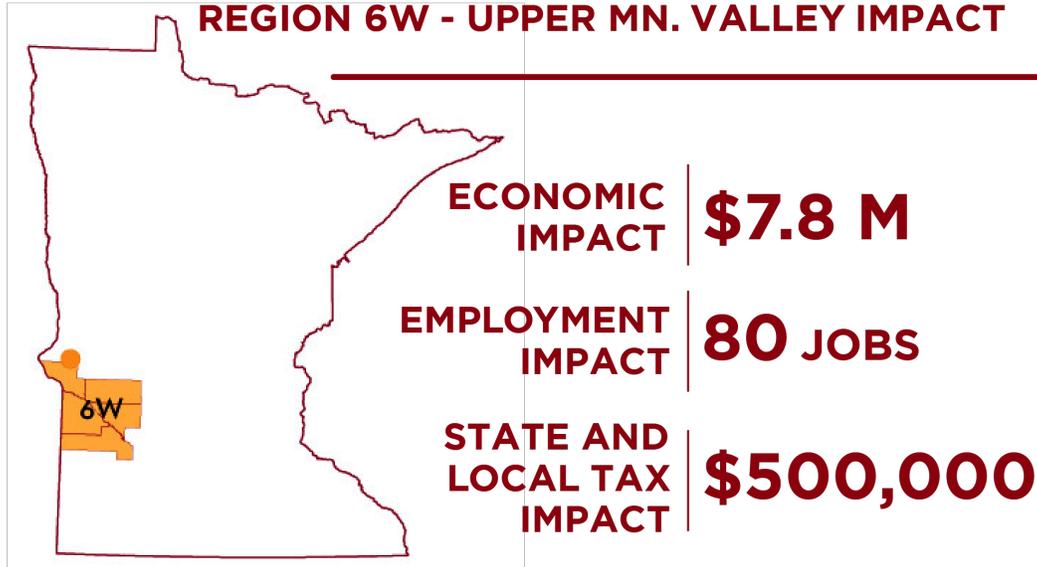
**Economic Development Region 6W: Upper Minnesota Valley**

Located in the southwest of Minnesota, Region 6W includes the following counties: Big Stone, Chippewa, Lac qui Parle, and Yellow Medicine. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact.

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**UNIVERSITY OF MINNESOTA  
REGION 6W - UPPER MN. VALLEY IMPACT**

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***Economic Impact***

In FY17, the University of Minnesota generated more than \$7.8 million in total economic impact throughout Economic Development Region 6W. This total represents the direct impact of spending in the Upper Minnesota Valley Region (\$4.7 million) as well as the indirect spending that occurs as a result of UMN's presence (\$3.1 million).

***Employment Impact***

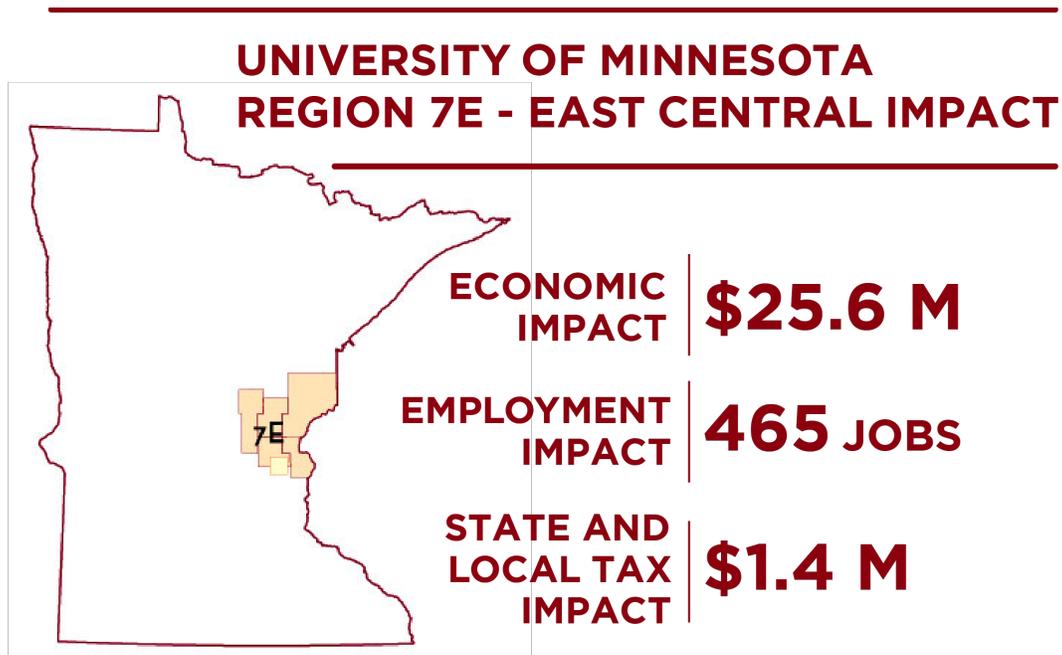
In FY17, UMN directly supported 52 jobs (full-time and part-time) throughout the Upper Minnesota Valley Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 80 jobs in Region 6W.

***State and Local Government Revenue Impact***

Due to the University of Minnesota's spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$500,000 in direct, indirect, and induced tax payments for the Northwest Region.

## Economic Development Region 7E: East Central

Located on the eastern boarder of Minnesota, Region 7E includes the following counties: Chisago, Isanti, Kanabec, Mille Lacs, and Pine. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact.



### ***Economic Impact***

In FY17, the University of Minnesota generated more than \$25.6 million in total economic impact throughout Economic Development Region 7E. This total represents the direct impact of spending in the East Central Region (\$15.2 million) as well as the indirect spending that occurs as a result of UMN's presence (\$10.4 million).

### ***Employment Impact***

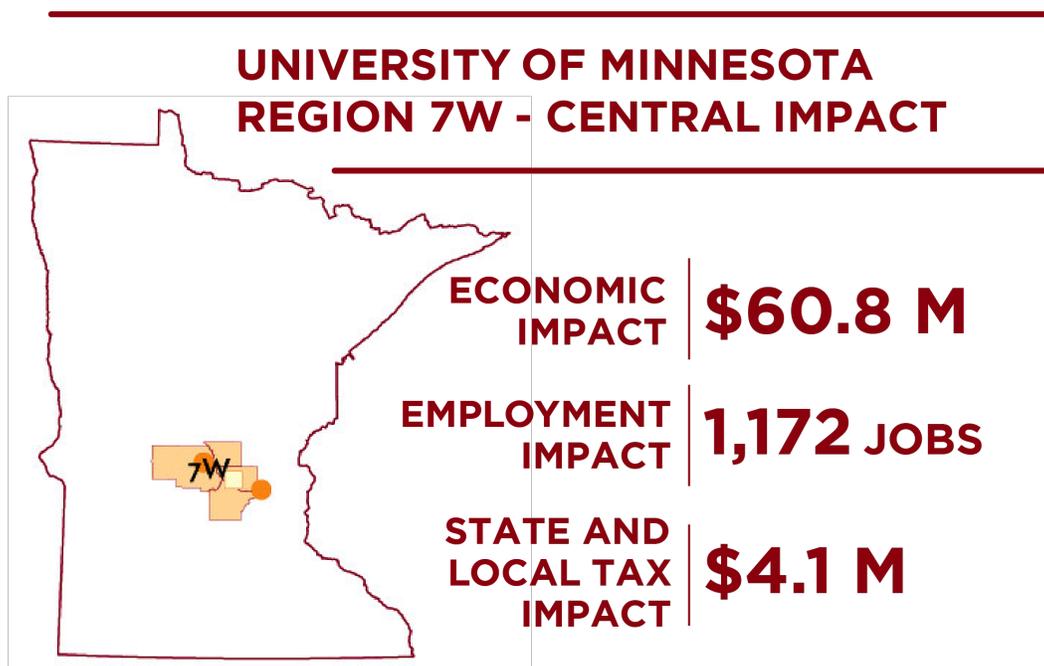
In FY17, UMN directly supported 364 jobs (full-time and part-time) throughout the East Central Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 465 jobs in Economic Development Region 7E.

### **State and Local Government Revenue Impact**

Due to the University of Minnesota’s spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$1.4 million in direct, indirect, and induced tax payments for the East Central Region.

### **Economic Development Region 7W: Central**

Located in the center of Minnesota, Region 7W includes the following counties: Benton, Sherburne, Stearns, and Wright. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The Central Region includes the following UMN entities: Regional Extension Office—St. Cloud, Regional Extension Office—Willmar, and the Sand Plain Research Farm at Becker.



### **Economic Impact**

In FY17, the University of Minnesota generated more than \$60.8 million in total economic impact throughout Economic Development Region 7W. This total represents the direct impact of spending in the Central Region (\$27.7 million) as well as the indirect spending that occurs as a result of UMN’s presence (\$33.1 million).

### ***Employment Impact***

In FY17, UMN directly supported 785 jobs (full-time and part-time) throughout the Central Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 1,172 jobs in Region 7W.

### ***State and Local Government Revenue Impact***

Due to the University of Minnesota's spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$4.1 million in direct, indirect, and induced tax payments for the Central Region.

## **Economic Development Region 8: Southwest**

Located in the lower southwest of Minnesota, Region 8 includes the following counties: Cottonwood, Jackson, Lincoln, Lyon, Murray, Nobles, Pipestone, Redwood, and Rock. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The Southwest Region includes the following UMN entities: Regional Extension Office—Marshall, Regional Extension Office—Worthington, and the Southwest Research and Outreach Center at Lamberton.

### ***Economic Impact***

In FY17, the University of Minnesota generated more than \$19.8 million in total economic impact throughout Economic Development Region 8. This total represents the direct impact of spending in the Southwest Region (\$5.2 million) as well as the indirect spending that occurs as a result of UMN's presence (\$14.6 million).

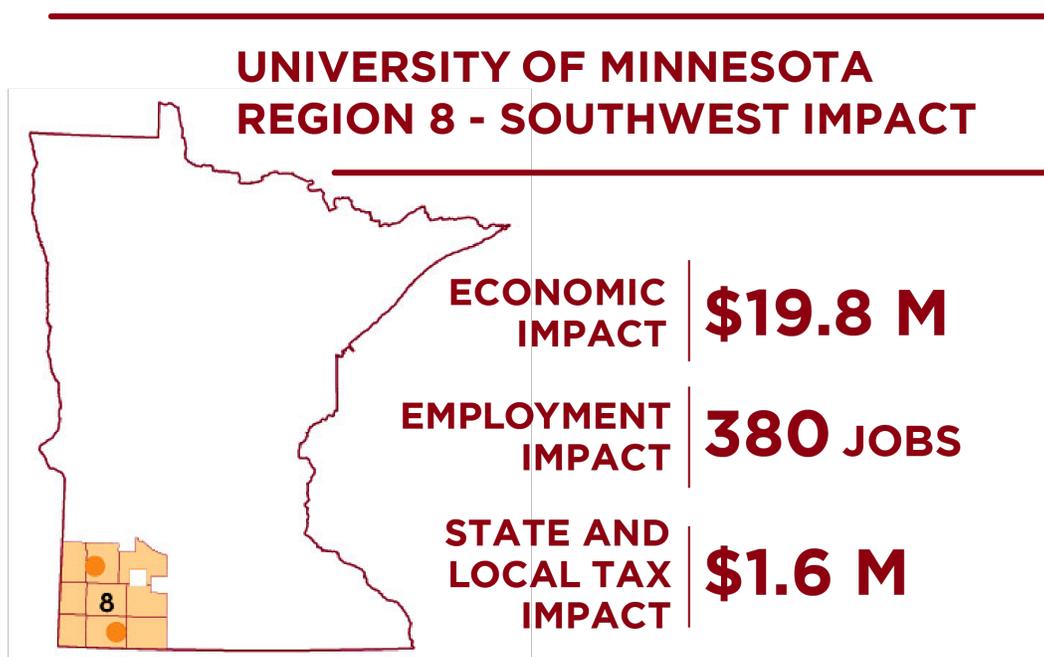
### ***Employment Impact***

In FY17, UMN directly supported 125 jobs (full-time and part-time) throughout the Southwest Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its

suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 380 jobs in Economic Development Region 8.

**State and Local Government Revenue Impact**

Due to the University of Minnesota’s spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$1.6 million in direct, indirect, and induced tax payments for the Southwest Region.



**Economic Development Region 9: South Central**

Located on the southern border of Minnesota, Region 9 includes the following counties: Blue, Brown, Faribault, Le Sueur, Martin, Nicollet, Sibley, Waseca, and Watonwan. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The South Central Region includes the following UMN entities: Regional Extension Office—Mankato and the Southern Research and Outreach Center at Waseca.

**Economic Impact**

In FY17, the University of Minnesota generated more than \$71.3 million in total economic impact throughout Economic Development Region 9. This total represents

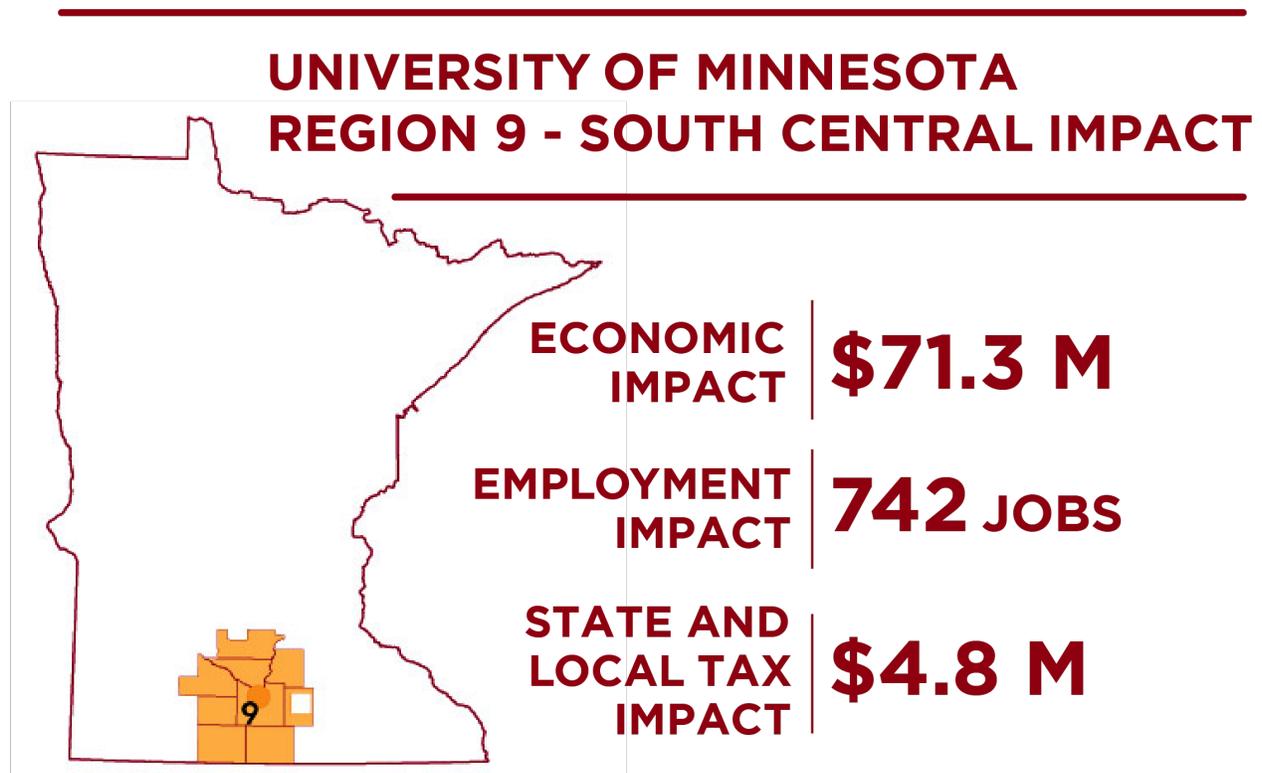
the direct impact of spending in the South Central Region (\$32.9 million) as well as the indirect spending that occurs as result of UMN's presence (\$38.4 million).

**Employment Impact**

In FY17, UMN directly supported 309 jobs (full-time and part-time) throughout the South Central Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 742 jobs in Economic Development Region 9.

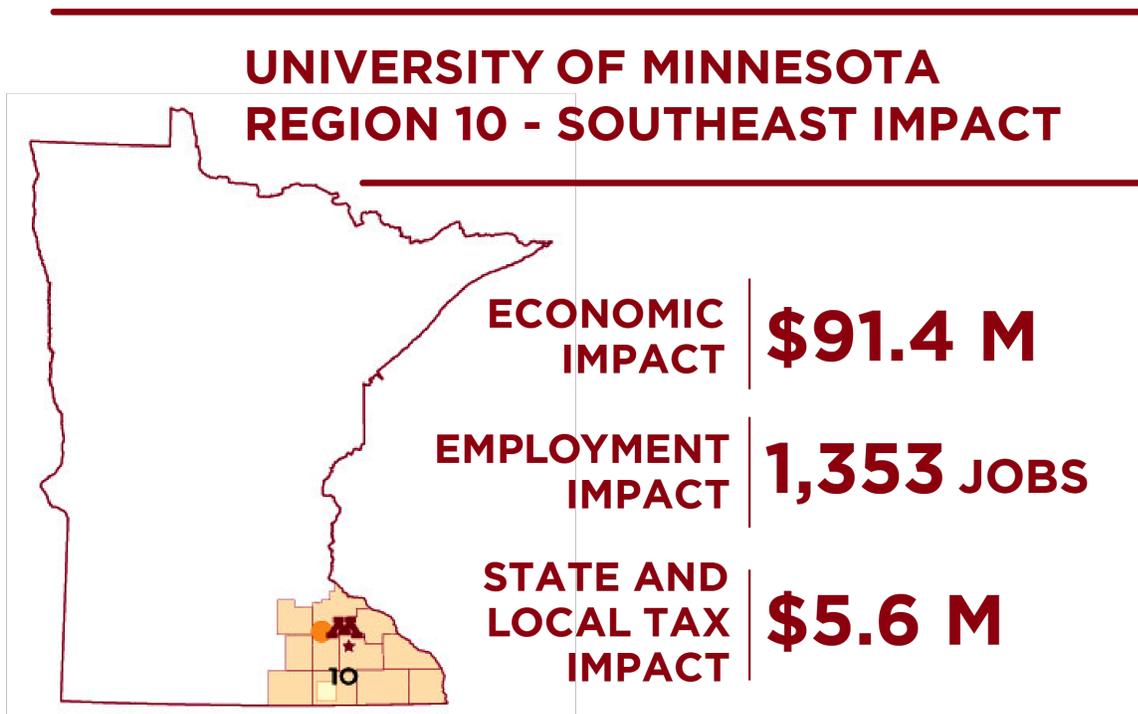
**State and Local Government Revenue Impact**

Due to the University of Minnesota's spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$4.8 million in direct, indirect, and induced tax payments for the South Central Region.



## Economic Development Region 10: Southeast

Located in the lower southeast of Minnesota, Region 10 includes the following counties: Dodge, Fillmore, Freeborn, Goodhue, Houston, Mower, Olmsted, Rice, Steele, Wabasha, and Winona. Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The Southeast Region includes the following UMN entities: Regional Extension Office—Rochester and the University of Minnesota—Rochester.



### ***Economic Impact***

In FY17, the University of Minnesota generated more than \$91.4 million in total economic impact throughout Economic Development Region 10. This total represents the direct impact of spending in the Southeast Region (\$44.9 million) as well as the indirect spending that occurs as a result of UMN's presence (\$46.5 million). The Southeast Region includes the following UMN entities: Regional Extension Office—Mankato and the Southern Research and Outreach Center at Waseca.

### ***Employment Impact***

In FY17, UMN directly supported 859 jobs (full-time and part-time) throughout the Southeast Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed

individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 1,353 jobs in Economic Development Region 10.

### ***State and Local Government Revenue Impact***

Due to the University of Minnesota's spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$5.6 million in direct, indirect, and induced tax payments for the Southeast Region.

### **Economic Development Region 11: 7 County Twin Cities**

Located on the eastern boarder of Minnesota, Region 11 includes the following counties: Anoka, Carver, Dakota, Hennepin, Ramsey, Scott, and Washington.

Throughout this region, the University of Minnesota plays a central role in generating substantial economic impact. The 7 County Twin Cities Region includes the following UMN entities: Horticultural Research Center at Chanhassen, Regional Extension Office –Andover, Regional Extension Office—Farmington, Rosemount Research and Outreach Center at UMore Park, and the University of Minnesota—Twin Cities.

### ***Economic Impact***

In FY17, the University of Minnesota generated more than \$5.7 billion in total economic impact throughout Economic Development Region 11. This total represents the direct impact of spending in the 7 County Twin Cities Region (\$2.3 billion) as well as the indirect spending that occurs as a result of UMN's presence (\$3.4 billion).

### ***Employment Impact***

In FY17, UMN directly supported 30,748 jobs (full-time and part-time) throughout the 7 County Twin Cities Region. This employment makes a direct contribution to the overall workforce vitality of the region, and bolsters the economy. Those directly employed individuals spend dollars in the state, and therefore, support additional employment. UMN spending on capital projects, its development and planning projects, and its suppliers support additional indirect jobs throughout Minnesota. In total, the presence of UMN supports 53,173 jobs in Economic Development Region 11.

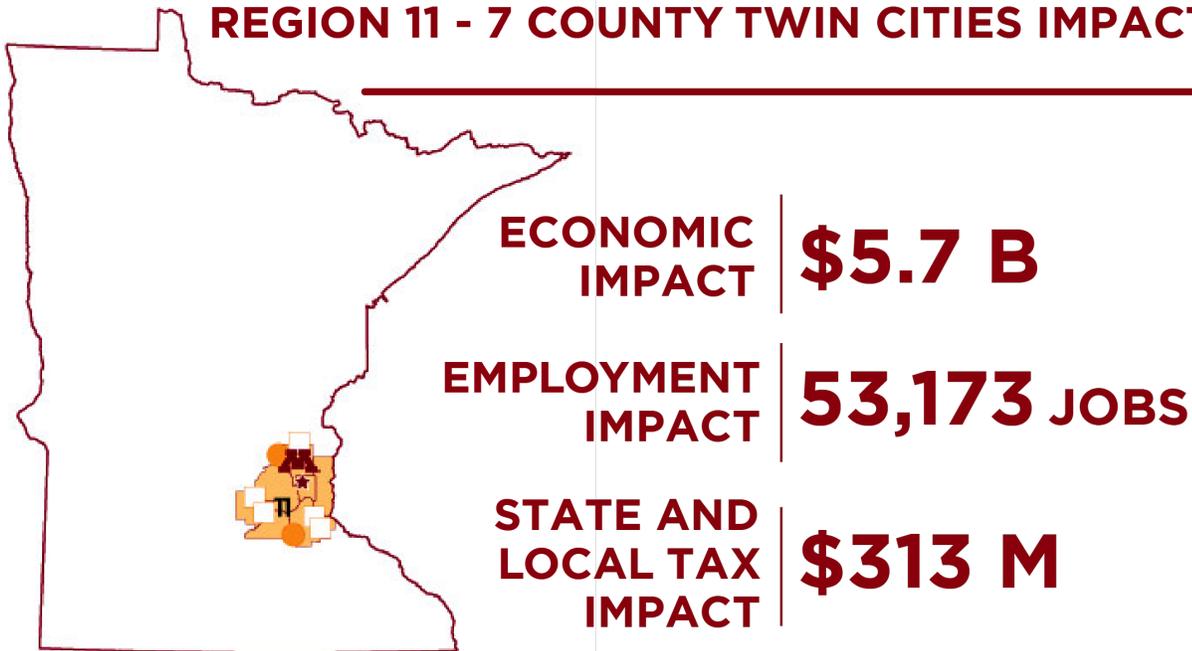
**State and Local Government Revenue Impact**

Due to the University of Minnesota’s spending with regional organizations, support of jobs for university employees living in the region, and UMN visitor spending in the region, the university makes significant contributions to local tax revenues. In FY17, UMN generated more than \$313 million in direct, indirect, and induced tax payments for the 7 County Twin Cities Region.

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**UNIVERSITY OF MINNESOTA  
REGION 11 - 7 COUNTY TWIN CITIES IMPACT**

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## Appendix A: Definition of Terms

<b>Study Year</b>	Fiscal year is defined as FY17; July 1, 2016 – June 30, 2017
<b>Total Industry Output</b>	The total impact of an organization includes the spending of the organization, the labor income expenditures, and the value-added to the economy as a result of the organizational spending; this is described as the total industry output.
<b>Total Economic Impact</b>	The total impact of an organization is a compilation of the direct impact, the indirect impact, and the induced impact generated in the economy as a result of the organization.
<b>Direct Economic Impact</b>	Direct impact includes all direct effects the organization has on the region due to the organization's operations. These include direct employees, organizational spending, employee spending, and spending by students and visitors to the organization.
<b>Indirect Economic Impact</b>	The indirect impact includes the impact of local industries buying goods and services from other local industries. The cycle of spending works its way backward through the supply chain until all money is spent outside of the local economy, either through imports or by payments to value added.
<b>Induced Economic Impact</b>	The response by an economy to an initial change (direct effect) that occurs through re-spending of income received by a component of value added. IMPLAN's default multiplier recognizes that labor income (employee compensation and proprietor income components of value added) is not lost to the regional economy. This money is recirculated through household spending patterns causing additional local economic activity.
<b>Multiplier Effect</b>	The multiplier effect is the additional economic impact created as a result of the organization's direct economic impact. Local companies that provide goods and services to an organization increase their purchasing by creating a multiplier.
<b>Government Revenue</b>	Government revenue that is collected by governmental units in addition to those paid directly by an organization, including taxes paid directly by employees of the organization, visitors to the organization, and vendors who sell products to the organization.
<b>Direct Employment</b>	Total number of employees, both full-time and part-time, at the organization based on total jobs.
<b>Indirect Employment</b>	Indirect employment are the additional jobs created as a result of the organization's economic impact. Local companies that provide goods and services to an organization increase their number of employees as purchasing increases, thus creating an employment multiplier.

## Appendix B: Technical Appendix

### IMPLAN Methodology Definitions

The economic impact of The University of Minnesota was estimated using IMPLAN (Impact Analysis for PLANning), an econometric modeling system developed by applied economists at the University of Minnesota and the U.S. Forest Service. The IMPLAN modeling system has been in use since 1979 and is currently used by over 500 private consulting firms, university research centers and government agencies. The IMPLAN modeling system combines the U.S. Bureau of Economic Analysis' Input-Output Benchmarks with other data to construct quantitative models of trade flow relationships between businesses and between businesses and final consumers. From this data, one can examine the effects of a change in one or several economic activities to predict its effect on a specific state, regional or local economy (impact analysis). The IMPLAN input-output accounts capture all monetary market transactions for consumption in a given time period. The IMPLAN input-output accounts are based on industry survey data collected periodically by the U.S. BEA and follow a balanced account format recommended by the United Nations.

IMPLAN's Regional Economic Accounts and the Social Accounting Matrices were used to construct state- and regional-level multipliers, which describe the response of the economy to a change in demand or production as a result of the activities and expenditures of UMN. Each industry that produces goods or services generates demand for other goods and services, and this demand is multiplied through a particular economy until it dissipates through "leakage" to economies outside the specified area. IMPLAN models discern and calculate leakage from local, regional, and state economic areas based on workforce configuration, the inputs required by specific types of businesses, and the availability of both inputs in the economic area. Consequently, economic impacts that accrue to other regions or states as a consequence of a change in demand are not counted as impacts within the economic area.

The model accounts for substitution and displacement effects by deflating industry-specific multipliers to levels well below those recommended by the U.S. Bureau of Economic Analysis. In addition, multipliers are applied only to personal disposable income in order to obtain a more realistic estimate of the multiplier effects from increased demand. Importantly, IMPLAN's Regional Economic Accounts exclude imports to an economic area, so the calculation of economic impacts identifies only those impacts specific to the economic impact area. IMPLAN calculates this distinction by applying Regional Purchase Coefficients (RPC) to predict regional purchases based on an economic area's particular characteristics. The RPC represents the proportion of goods and services that will be purchased regionally under normal circumstances, based on the area's economic characteristics described in terms of actual trade flows within the area.

### Employment Definitions

IMPLAN analysis is conducted to measure jobs/positions (part-time or full-time), not full-time equivalents (FTEs). Full-time and part-time employees generate impact in the economy and

support additional indirect and induced employment throughout the state of Minnesota. Employment data for UMN was provided as an output of all individuals who receive a paycheck from the institution. This includes all full-time and part-time employed faculty, staff, and students.

## **Government Revenue Impact Definition**

Government revenue impacts generated in the current, FY17 study included all taxes paid by UMN to the state of Minnesota and each defined Economic Development Region (i.e., payroll, property, sales, unemployment, income, and any other taxes paid to the state and local government). Any federal taxes paid by the University of Minnesota were not included in the government revenue impacts (i.e., FICA payments).

## **Visitor definitions**

Impact analysis looks to quantify the impact of the attraction of “fresh” dollars to a region. Therefore, when including visitor spending in the impact analysis of a university, the analysis will only include those visitors coming to a region from outside of said region. Visitors to events who also live in the region would have spent their dollar in that region otherwise; therefore, this dollar was not attracted to the region as a result of the organization being analyzed.

For UMN, the impact analysis looked at impacts to the state of Minnesota and each defined Economic Development Region. Visitors to UMN were only counted if they were from outside of said region being analyzed.

## **Community Benefits**

Community benefits provided in this report outline two forms of impact — monetary donations made by employees and students to local nonprofits as well as volunteer hours that are valued at a monetary value.

- Tripp Umbach has conducted survey research to estimate the amount of monetary donations a student, staff, and faculty will spend in a year. This amount differs per individual but ranges from \$500-\$700. Tripp Umbach also understands that not all individuals donate; therefore, this is adjusted as well.
- The value of a volunteer hour has been quantified by Independent Sector to be \$26.40 per individual per hour. Tripp Umbach utilized this value with the understanding (also from survey research) of the average number of hours faculty, staff and students engage in volunteer activities (estimated 100 hours per year, for 50 percent of the employees and students).

## **Appendix C: FAQs Regarding Economic Impact Assessment**

### **What is economic impact?**

Economic impact begins when an organization spends money. Economic impact studies measure the direct economic impact of an organization's spending, plus additional indirect spending in the economy as a result of direct spending. Economic impact has nothing to do with dollars collected by institutions, their profitability, or even their sustainability, since all operating organizations have a positive economic impact when they spend money and attract spending from outside sources.

Direct economic impact measures the dollars that are generated within a geographic region due to the presence of an institution. This includes not only spending on goods and services with a variety of vendors within the region and the spending of its employees and visitors, but also the economic impact generated by businesses within the region that benefit from the spending of the institution. It is important to remember that not all dollars spent by an institution stay in the geographic region of study. Dollars that "leak" out of the region in the form of purchases from out-of-area vendors are not included in the economic impact that an institution has on the region.

The total economic impact includes the "multiplier" of spending from companies that do business with an institution. Support businesses may include lodging establishments, restaurants, construction firms, vendors, temporary agencies, etc. Spending multipliers attempt to estimate the ripple effect in the economy where the spending occurs. For example: Spending by an institution with local vendors provides these vendors with additional dollars that they re-spend in the local economy, causing a "multiplier effect."

### **What is the multiplier effect?**

Multipliers are a numeric way of describing the secondary impacts stemming from the operations of an organization. For example, an employment multiplier of 1.8 would suggest that for every 10 employees hired in the given industry, eight additional jobs would be created in other industries, such that 18 total jobs would be added to the given economic region. The multipliers used in this study range from 1.8 to 2.0.

The Multiplier Model is derived mathematically using the input-output model and Social Accounting formats. The Social Accounting System provides the framework for the predictive Multiplier Model used in economic impact studies. Purchases for final use drive the model. Industries that produce goods and services for consumer consumption must purchase products, raw materials and services from other companies to create their product. These vendors must also procure goods and services. This cycle continues until all the money is leaked from the region's economy. There are three types of effects measured with a multiplier: the direct, the indirect, and the induced effects. The direct effect is the known or predicted change in the local

economy that is to be studied. The indirect effect is the business-to-business transactions required to satisfy the direct effect. Finally, the induced effect is derived from local spending on goods and services by people working to satisfy the direct and indirect effects.

- **Direct effects** take place only in the industry immediately being studied.
- **Indirect effects** concern inter-industry transactions: Because an institution is in business, it has a demand for locally produced materials needed to operate.
- **Induced effects** measure the effects of the changes in household income: Employees of an institution and suppliers purchase from local retailers and restaurants.
- **Total Economic Impacts** are the total changes to the original economy as the result of the operations of an institution, i.e., Direct effects + Indirect effects + Induced effects = Total Economic Impacts.

### **What methodology was used in this study?**

IMPLAN (IMpact analysis for PLANning) data and software were used in this study. Using classic input-output analysis in combination with regional specific Social Accounting Matrices and Multiplier Models, IMPLAN provides a highly accurate and adaptable model for its users. The IMPLAN database contains county, state, ZIP code and federal economic statistics that are specialized by region, not estimated from national averages, and can be used to measure the effect on a regional or local economy of a given change or event in the economy's activity.

### **What is employment impact?**

Employment impact measures the direct employment (employees, staff, faculty, administration) plus additional employment created in the economy as a result of the operations of an institution.

Indirect and induced employment impact refers to other employees throughout the region who exist because of an institution's economic impact. In other words, jobs related to the population — city services (police, fire, EMS, etc.), employees at local hotels and restaurants, clerks at local retail establishments, and residents employed by vendors used by the institution.

### **What is the difference between direct and indirect taxes?**

Direct tax dollars include sales taxes and net corporate income taxes paid directly by the institution to the state, while indirect taxes include taxes paid to the state by vendors that do business with an institution and individuals.

### **Is this a one-time impact, or does the impact repeat each year?**

The results presented in this economic impact study are generated on an annual basis. The economic impact in future years can be either higher or lower based on number of employees, students, capital expansion, increases in external research and state appropriations.

## **What are Tripp Umbach's qualifications to perform economic impact analysis?**

Tripp Umbach is the national leader in providing economic impact analysis to leading health care organizations, universities and academic medical centers. Since 1990, Tripp Umbach has completed more than 300 economic impact studies for such clients as: Boston University, Indiana University, Michigan State University, The Pennsylvania State University, The Ohio State University, UCONN, University at Buffalo, University of Arizona, University of Michigan, University of Minnesota, The University of Pittsburgh, University of Vermont, University of Virginia, The University of Washington, and The University of Alabama at Birmingham.

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# The Economic Impacts of the University of Minnesota (FY 17)

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February 2018



# About Tripp Umbach

- Tripp Umbach has experience throughout North America in completing economic impact studies for university clients.
- *Selected examples: Pennsylvania State University, Ohio State University, University of Washington, University of Michigan, University of Pittsburgh Medical Center, University of Iowa, Cleveland Clinic, and University of Arizona.*
- Tripp Umbach has completed 300+ economic impact studies for corporations, hospitals, universities, industries, events, and national parks.
- Tripp Umbach last completed a study for The University of Minnesota in 2011.

# Study Goals & Objectives

- To quantify the economic and employment impacts of the University of Minnesota system on the state of Minnesota.
- To quantify the economic and employment impacts of the University of Minnesota system on each of the state's economic development regions.
- To quantify the impacts of each campus.
- To better articulate the benefits of a major research institution and its partnership with the community, citizens, and the state.

# Study Overview

The economic impact study is conducted using quantitative data collected from the University System as well as qualitative data collected from key stakeholders at the University System.

## UMN ECONOMIC IMPACT STUDY OVERVIEW

**STUDY PERIOD:**  
Fiscal Year 2017

**THIS STUDY INCLUDES:**  
UMN schools and colleges,  
UMN Research, UMN Research  
and Outreach Centers,  
UMN Extension, & M Health

**STUDY GEOGRAPHY:**  
State of Minnesota

Each of the 13 Economic  
Development Regions

**METHODOLOGY:**  
IMPLAN

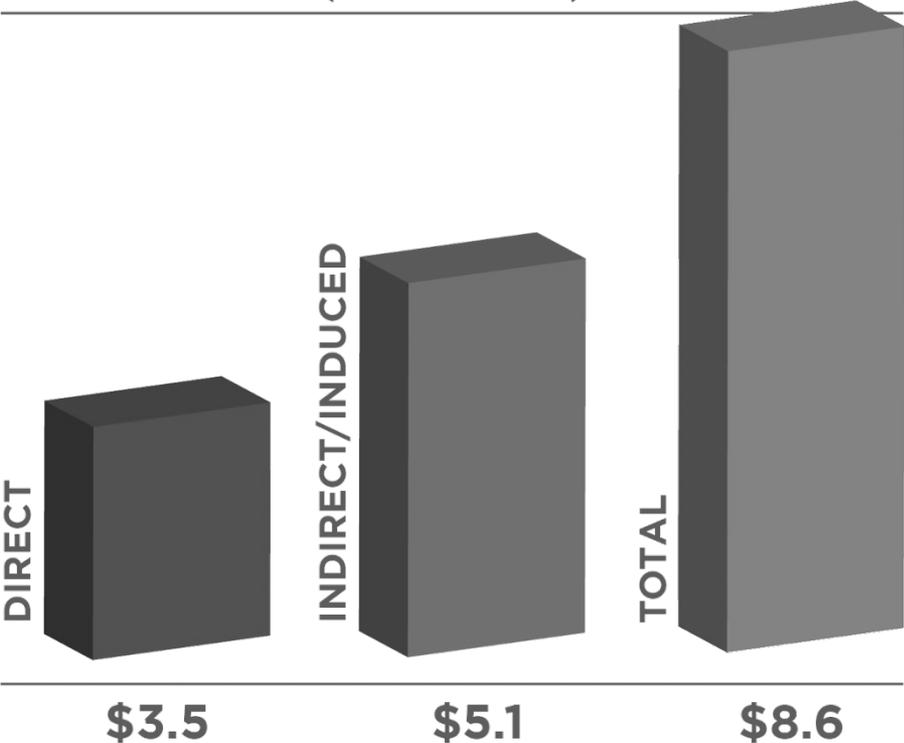
# Methodology – Understanding the Impact

- **Direct Impact** – UMN spends money to invest in capital, research, operations, payroll, and vendors.
- **Indirect Impact** - The businesses that directly cater to UMN purchase a wide variety of goods and services from suppliers, manufacturers, and service companies due to the University’s direct spending in the area.
- **Induced Impact** - The employees of UMN as well as the manufacturers, suppliers, and support companies whose wages are either directly or indirectly derived from the UMN spending in turn spend their wages at local businesses.

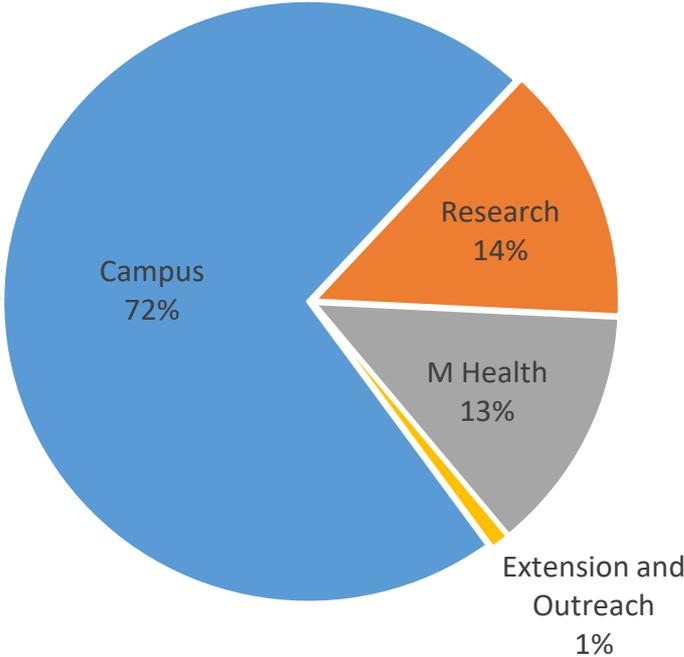


# University of Minnesota System's Overall Economic Impact is Greater than \$8.6 Billion Annually

TOTAL ECONOMIC IMPACT FOR THE UMN SYSTEM (IN BILLIONS)



Impacts Breakout



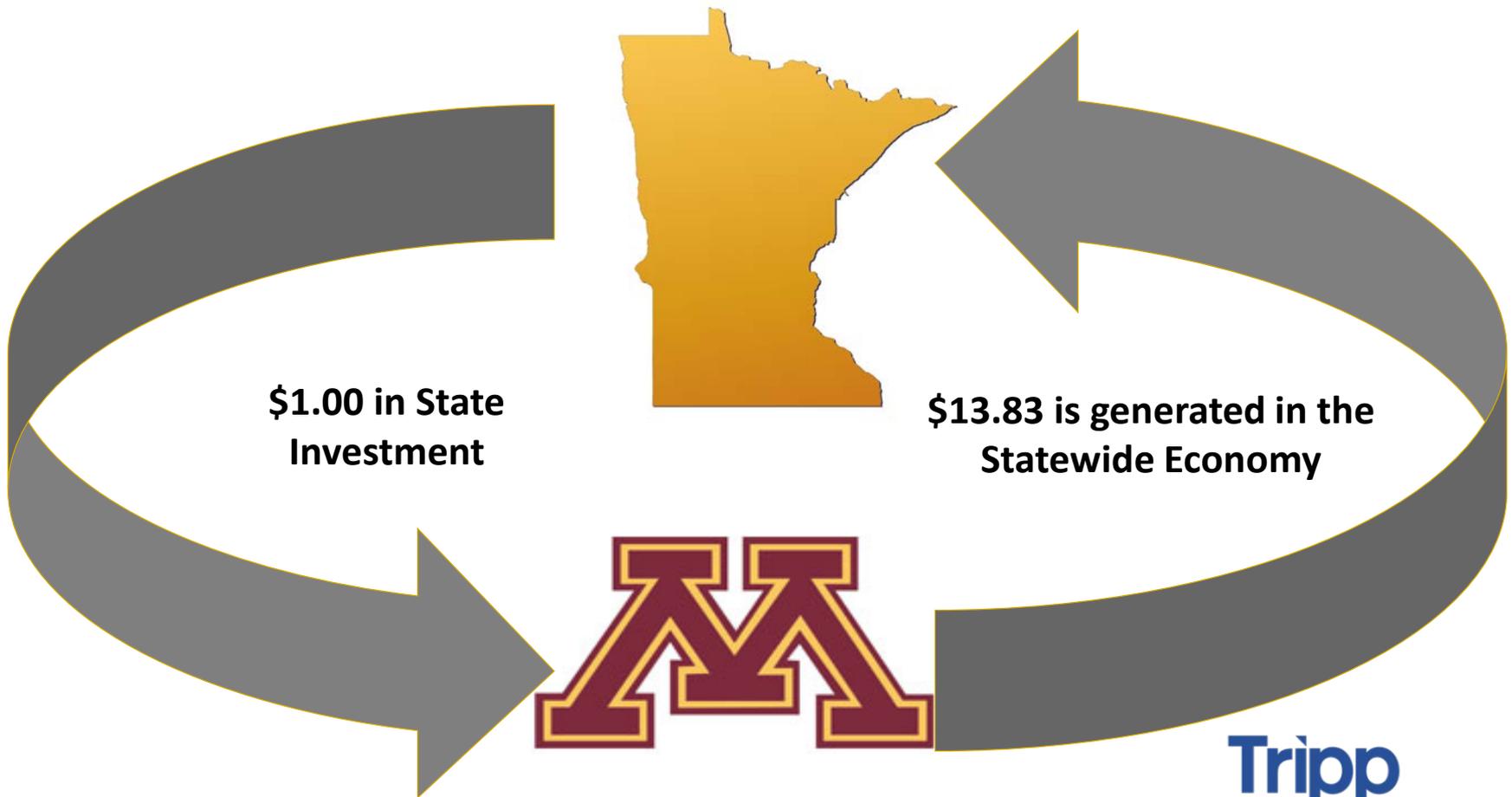
Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.

# University of Minnesota System is a major generator of employment

- 77,664 jobs are supported by the University of Minnesota System
  - 43,554 direct jobs
  - 34,110 indirect and induced jobs
- 1 in every 47 jobs in the state is attributable to the University of Minnesota System



# What is the Return on Investment to the state of Minnesota?



**\$1.00 in State  
Investment**

**\$13.83 is generated in the  
Statewide Economy**

# University of Minnesota System Strengthens State and Local Tax Revenue Collections

- It is a common misperception that public universities do not generate tax revenue.
- U of M generates \$470.2 million per year in state and local tax revenue.

# Twin Campus Impacts

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## UNIVERSITY OF MINNESOTA TWIN CITIES CAMPUS IMPACT

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ECONOMIC  
IMPACT

**\$5.6 B**

EMPLOYMENT  
IMPACT

**49,535 JOBS**

STATE AND  
LOCAL TAX  
IMPACT

**\$309.7 M**

# Crookston Campus Impacts

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## UNIVERSITY OF MINNESOTA CROOKSTON CAMPUS IMPACT

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ECONOMIC  
IMPACT

**\$63.6 M**

EMPLOYMENT  
IMPACT

**763 JOBS**

STATE AND  
LOCAL TAX  
IMPACT

**\$3.6 M**

# Duluth Campus Impacts

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## UNIVERSITY OF MINNESOTA DULUTH CAMPUS IMPACT

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**ECONOMIC  
IMPACT**

**\$426.3 M**

**EMPLOYMENT  
IMPACT**

**4,906 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT**

**\$23.8 M**

# Morris Campus Impacts

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## UNIVERSITY OF MINNESOTA MORRIS CAMPUS IMPACT

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**ECONOMIC  
IMPACT**

**\$85.6 M**

**EMPLOYMENT  
IMPACT**

**1,178 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT**

**\$4.9 M**

# Rochester Campus Impacts

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## UNIVERSITY OF MINNESOTA ROCHESTER CAMPUS IMPACT

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**ECONOMIC  
IMPACT**

**\$29.7 M**

**EMPLOYMENT  
IMPACT**

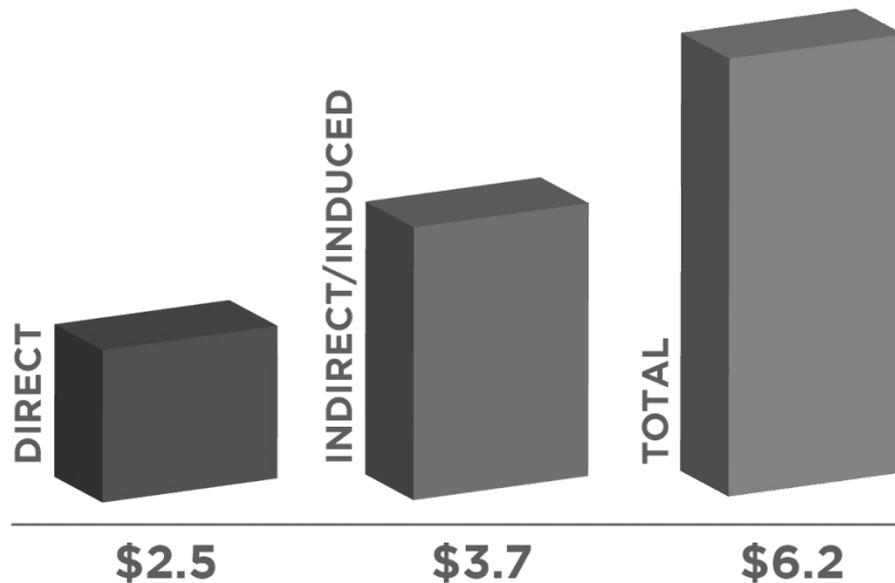
**261 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT**

**\$1.5 M**

# Overall University Campus Impacts

## OVERALL ECONOMIC IMPACT OF UMN (IN BILLIONS)



Just the University campuses combined overall produce \$6.2 billion in economic impact to the state of Minnesota.

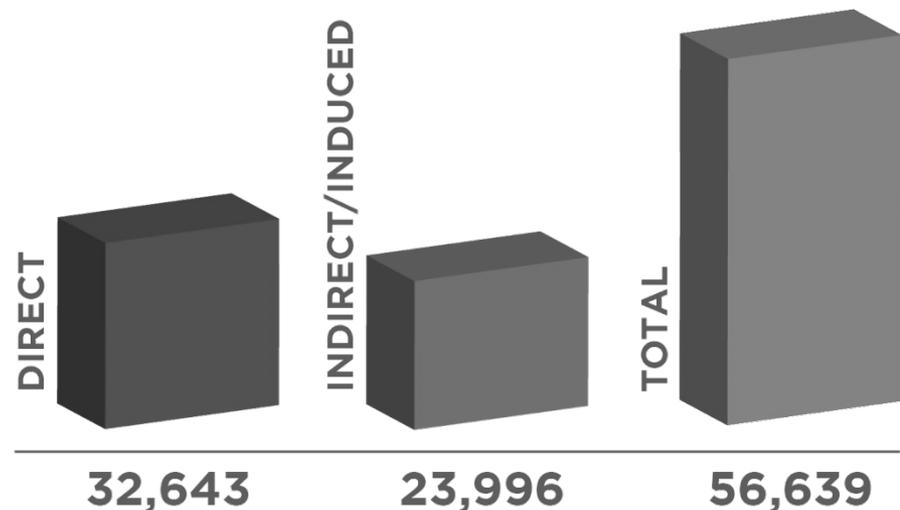
Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.

# Overall University Campus Impacts

The campuses alone make up a large portion of the University System's employment impact.

In addition to the jobs the campuses also generate more than \$343.4 million in local and state tax revenues.

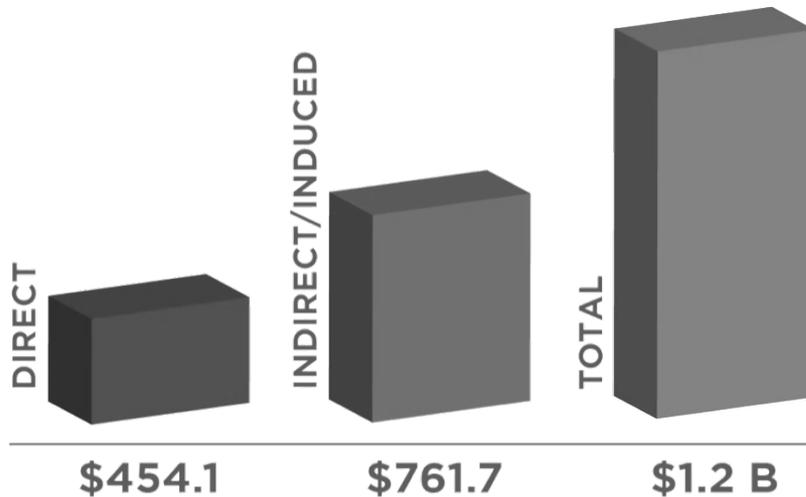
OVERALL EMPLOYMENT IMPACT OF UMN  
(IN JOBS)



Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.

# University of Minnesota Research is an Economic Engine for the State

OVERALL ECONOMIC IMPACT  
OF UMN RESEARCH  
(IN MILLIONS)



- University of Minnesota research expenditures from competitively awarded funding generates **\$1.2 billion** in impact and supports **11,279 jobs**.

Source: Tripp Umbach using IMPLAN results from data obtained through the UMN.

# Research Commercialization

## FY2017 START-UPS



Cleanair-CARE LLP   1Cell Therapy Solutions   Aerem

In 2017 there were a record of 18 start-up companies which came out of the university.

## TECHNOLOGY COMMERCIALIZATION DATA (FY2017)

GENERAL DATA					
	2013	2014	2015	2016	2017
INVENTION DISCLOSURES	331	343	354	402	406
NEW LICENSES	91	154	268	194	213
CURRENT REVENUE GENERATING AGREEMENTS	331	429	544	528	545
GROSS REVENUES	\$39.50	\$27.40	\$20.20	\$46.90	\$22.60
OUTGOING MATERIAL TRANSFER AGREEMENTS	281	288	297	273	233
PATENTS					
	2013	2014	2015	2016	2017
ISSUED PATENTS (U.S. AND FOREIGN)	129	104	136	168	147
NEW PATENT FILINGS	148	138	146	202	232
MN-IP					
	2013	2014	2015	2016	2017
MN-IP RESEARCH AGREEMENTS	41	51	69	81	72
COMPANIES WITH MN-IP RESOURCE AGREEMENTS	38	44	54	62	51
SPONSORED RESEARCH COMMITMENTS	\$3.80	\$4.30	\$10.80	\$12.20	\$20.90
STARTUPS					
	2013	2014	2015	2016	2017
	14	15	16	17	18

## AGGREGATE INVESTMENT CAPITAL RAISED

\$ 3 9 7 , 9 2 0 , 0 0 0

The Office of Technology Commercialization (OTC) at the University of Minnesota has remained strong and even grown exponentially in some areas over the 5 years period shown.

# Alumni Impacts

- Undergraduate alumni of the class of 2017 have a **\$136.9 million** impact in their salary in the first year and will add **\$188.9 billion** to the economy over their lifetime of employment.
- The advanced degrees awarded to alumni in the same year equates to another **\$52.1 million** in the first year and an additional **\$67.1 billion** over their future lifetime of employment.
- In total over 40 years of average employment UMN alumni currently living in Minnesota have increased earning power of **\$256 billion over the 40 years.**

# Workforce Impacts

- The University educates the workforce that Minnesota needs to succeed in the 21st century.
- The **16,000 students** who graduated just this year from UMN are essential to the state's human capital and workforce needs.
- With more than **580,000 alumni** the University helps to impact the entire state and beyond with highly engaged and educated citizens.



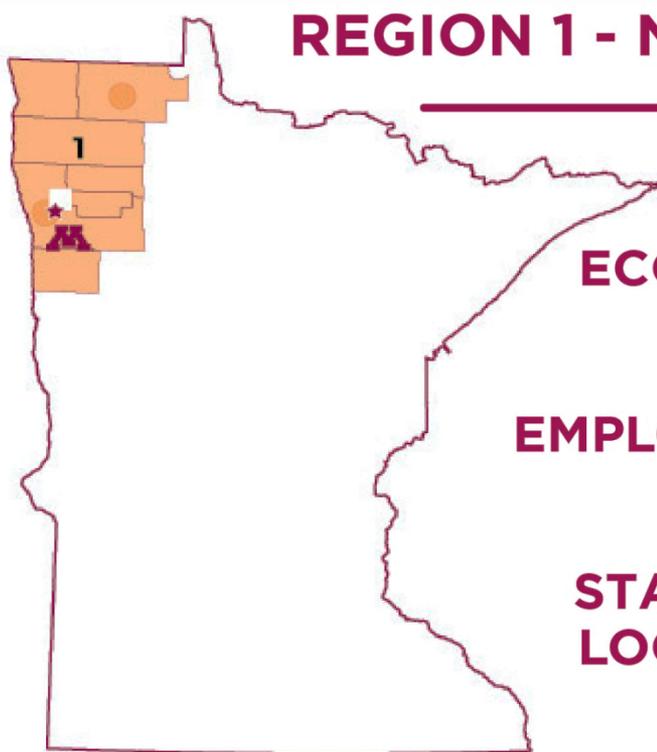
# Economic Development Statewide

The University of Minnesota generates impact throughout the state of Minnesota through their operations, employment, research, education, and healthcare.



# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 1 - NORTH WEST IMPACT



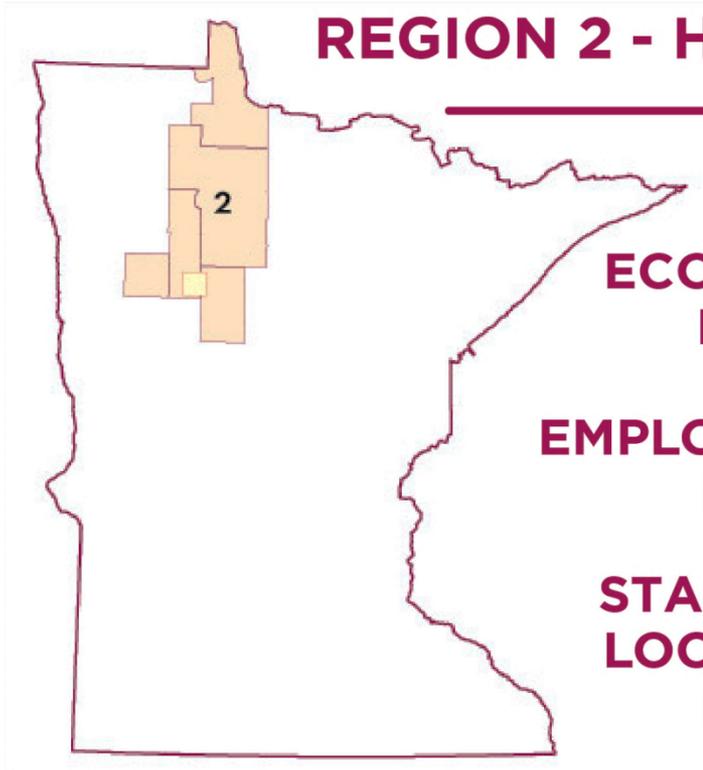
**ECONOMIC  
IMPACT** | **\$62.3 M**

**EMPLOYMENT  
IMPACT** | **800 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$4.7 M**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 2 - HEADWATERS IMPACT



**ECONOMIC  
IMPACT**

**\$9.9 M**

**EMPLOYMENT  
IMPACT**

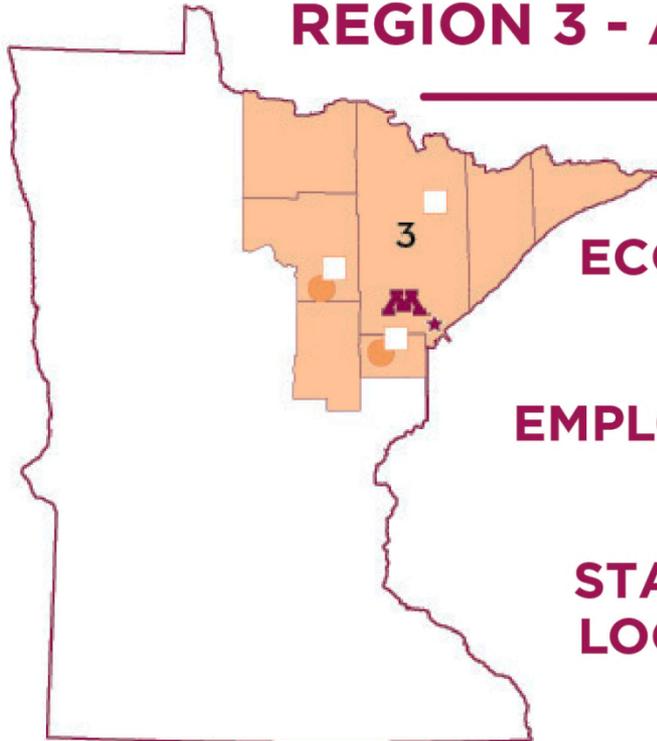
**118 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT**

**\$550,000**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 3 - ARROWHEAD IMPACT



**ECONOMIC  
IMPACT**

**\$493.3 M**

**EMPLOYMENT  
IMPACT**

**5,175 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT**

**\$32.7 M**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 4 - WEST CENTRAL IMPACT



**ECONOMIC  
IMPACT** | **\$563.5 M**

**EMPLOYMENT  
IMPACT** | **2,974 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$38.7 M**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 5 - NORTH CENTRAL IMPACT



**ECONOMIC  
IMPACT** | **\$52.8 M**

**EMPLOYMENT  
IMPACT** | **352 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$3.4 M**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 6E - SOUTHWEST CENTRAL IMPACT



**ECONOMIC  
IMPACT**

**\$9.6 M**

**EMPLOYMENT  
IMPACT**

**208 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT**

**\$564,812**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 6W - UPPER MN. VALLEY IMPACT



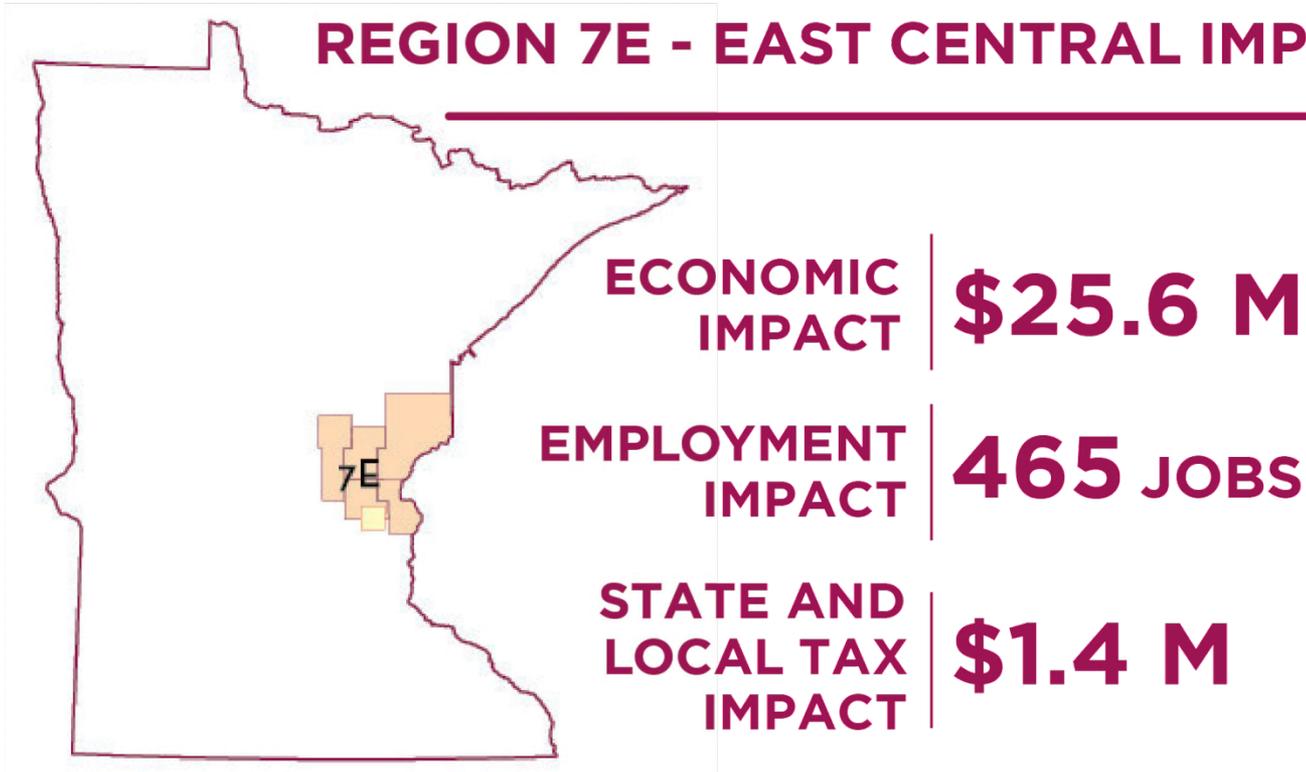
**ECONOMIC  
IMPACT** | **\$7.8 M**

**EMPLOYMENT  
IMPACT** | **80 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$500,000**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 7E - EAST CENTRAL IMPACT



# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 7W - CENTRAL IMPACT



**ECONOMIC  
IMPACT** | **\$60.8 M**

**EMPLOYMENT  
IMPACT** | **1,172 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$4.1 M**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 8 - SOUTHWEST IMPACT



**ECONOMIC  
IMPACT** | **\$19.8 M**

**EMPLOYMENT  
IMPACT** | **380 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$1.6 M**

# Economic Development Statewide

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## UNIVERSITY OF MINNESOTA REGION 9 - SOUTH CENTRAL IMPACT

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**ECONOMIC  
IMPACT** | **\$71.3 M**

**EMPLOYMENT  
IMPACT** | **742 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$4.8 M**

# Economic Development Statewide

## UNIVERSITY OF MINNESOTA REGION 10 - SOUTHEAST IMPACT



**ECONOMIC  
IMPACT**

**\$91.4 M**

**EMPLOYMENT  
IMPACT**

**1,353 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT**

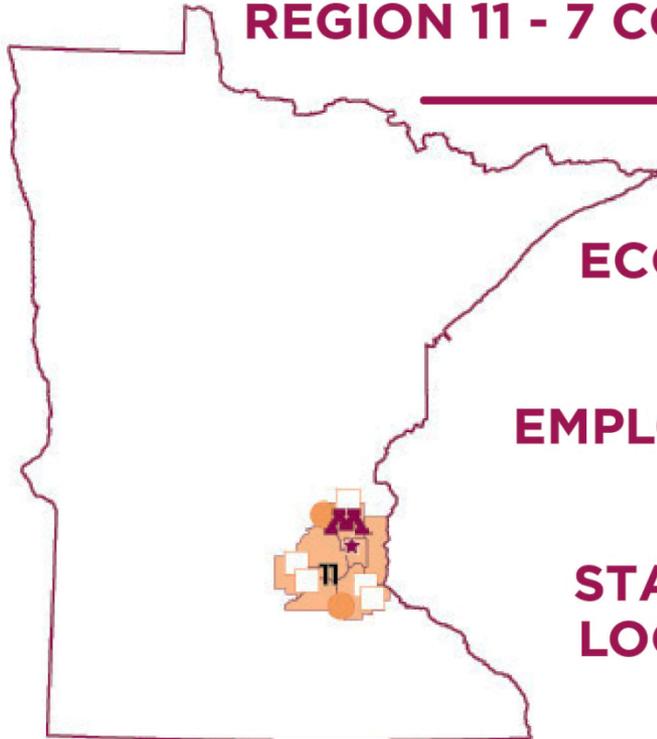
**\$5.6 M**

# Economic Development Statewide

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## UNIVERSITY OF MINNESOTA REGION 11 - 7 COUNTY TWIN CITIES IMPACT

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**ECONOMIC  
IMPACT** | **\$5.7 B**

**EMPLOYMENT  
IMPACT** | **53,173 JOBS**

**STATE AND  
LOCAL TAX  
IMPACT** | **\$313 M**

# Questions



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Board of Regents**

**February 9, 2018**

**AGENDA ITEM:** Report of the Committees

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

*This is a report required by Board policy.*

**PRESENTERS:** Regent David J. McMillan

### **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.”

### **BACKGROUND INFORMATION**

Current committee chairs:

- Audit & Compliance Committee – L. Cohen
- Finance & Operations Committee – T. Anderson
- Governance & Policy Committee – D. Rosha
- Litigation Review Committee – R. Beeson
- Mission Fulfillment Committee – A. Omari