



Governance & Policy Committee

June 2024

June 14, 2024

8:00 a.m.

Boardroom, McNamara Alumni Center

GOV - JUN 2024

1. Virtual Forum Pilot Project Report

Docket Item Summary - 3

Presentation Materials - 5

2. University Policy Overview

Docket Item Summary - 21

Report - 24

Presentation Materials - 28



BOARD OF REGENTS DOCKET ITEM SUMMARY

Governance & Policy

June 14, 2024

AGENDA ITEM: Virtual Forum Pilot Project Report

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS:

Brian Steeves, Executive Director & Corporate Secretary
Krista Overby, Communications & Engagement Manager

PURPOSE & KEY POINTS

The purpose of this item is to provide the committee with a report that summarizes the results of the Virtual Forum Pilot Program (pilot program). The pilot program launched in advance of the September 2023 meeting with the primary objective of adding to the Board's existing public engagement activities. The report provides an evaluation of the pilot program by looking at usage statistics from the 2023–24 academic year across multiple categories. The report also offers preliminary Office of the Board of Regents (OBR) staff analysis regarding pilot program performance and areas of potential growth going forward.

OBR intends to continue providing the Virtual Forum as an option for members of the University community to provide feedback while the Board considers engagement more broadly. Once the report is received by the committee, additional discussions regarding engagement will take place at upcoming meetings this summer and next fall—including consideration of the motion to develop a framework and implement in-person public comment at the Board's regularly scheduled meetings referred to the committee in December 2023. The full presentation can be viewed at:

<https://youtu.be/PfNAs07PB-s>

BACKGROUND INFORMATION

The Virtual Forum Pilot Program was developed in response to a desire to enhance the Board's public engagement practices—creating additional ways for members of the University community and Minnesotans to provide input to the Board. The pilot program was developed after a series of conversations during the 2022–23 academic year with a mid-pilot update at the December 2023 meeting:

- December 2023: *Update on the Board's Virtual Forum Pilot Program*, Board of Regents
- February 2023: *Potential Enhancements to Board Public Engagement*, Governance & Policy Committee
- December 2022: *Potential Changes to Board Public Engagement*, Governance & Policy Committee

- October 2022: *Discussion of Board Public Engagement, Governance & Policy Committee*
- September 2022: *Overview of Board Public Engagement, Governance & Policy Committee*

Virtual Forum Pilot Project Report

Brian Steeves
Executive Director & Corporate Secretary

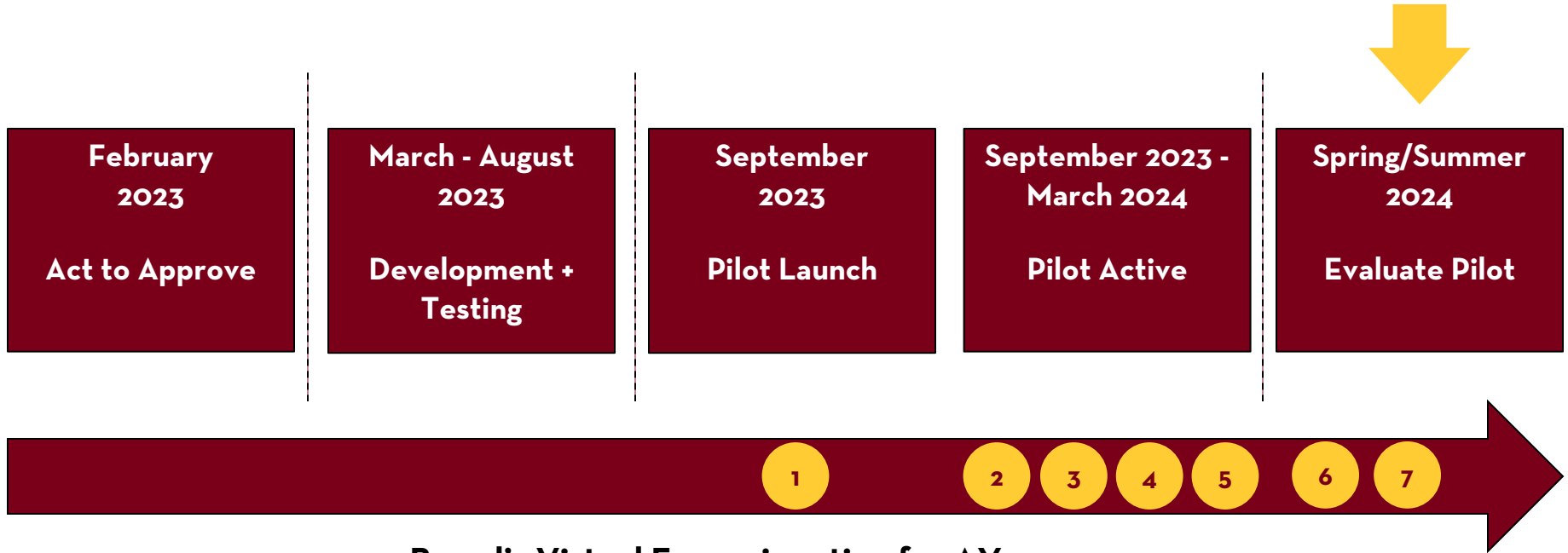
Krista Overby
Communications & Engagement Manager

June 14, 2024





Project Timeline



Board's Virtual Forum is active for AY 2023-2024.



Pilot Guiding Principles

1. Effectively support the Board in building trust and demonstrating accountability.
2. Recognize that public engagement practices evolve over time and require a 'custom fit' to meet the needs of today.
3. Leverage technology to aid in advancing innovative access and inclusive engagement across the University community.

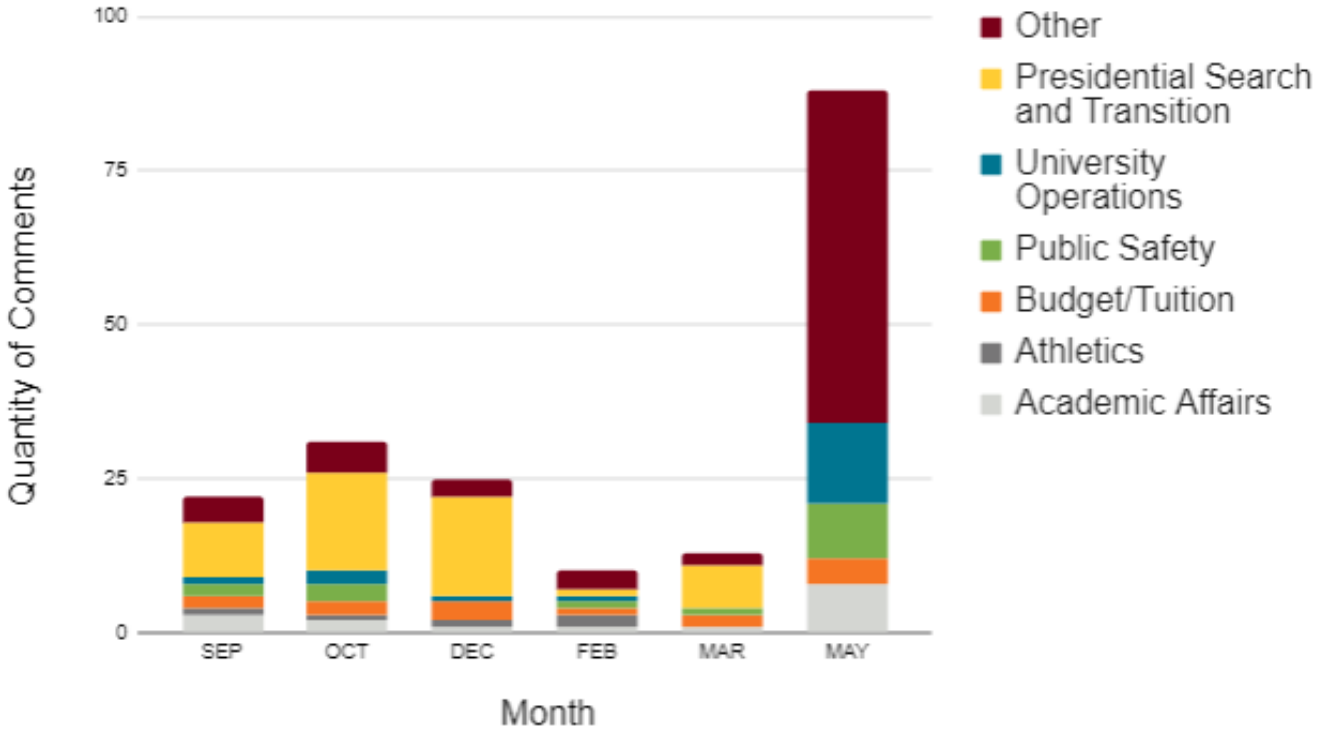


Virtual Forum Pilot Aggregates

- Total Virtual Forum visitors = 952
- Total comments received = 198
 - 196 were written
 - 1 was audio
 - 1 was a video
- 193 unique users from the University community

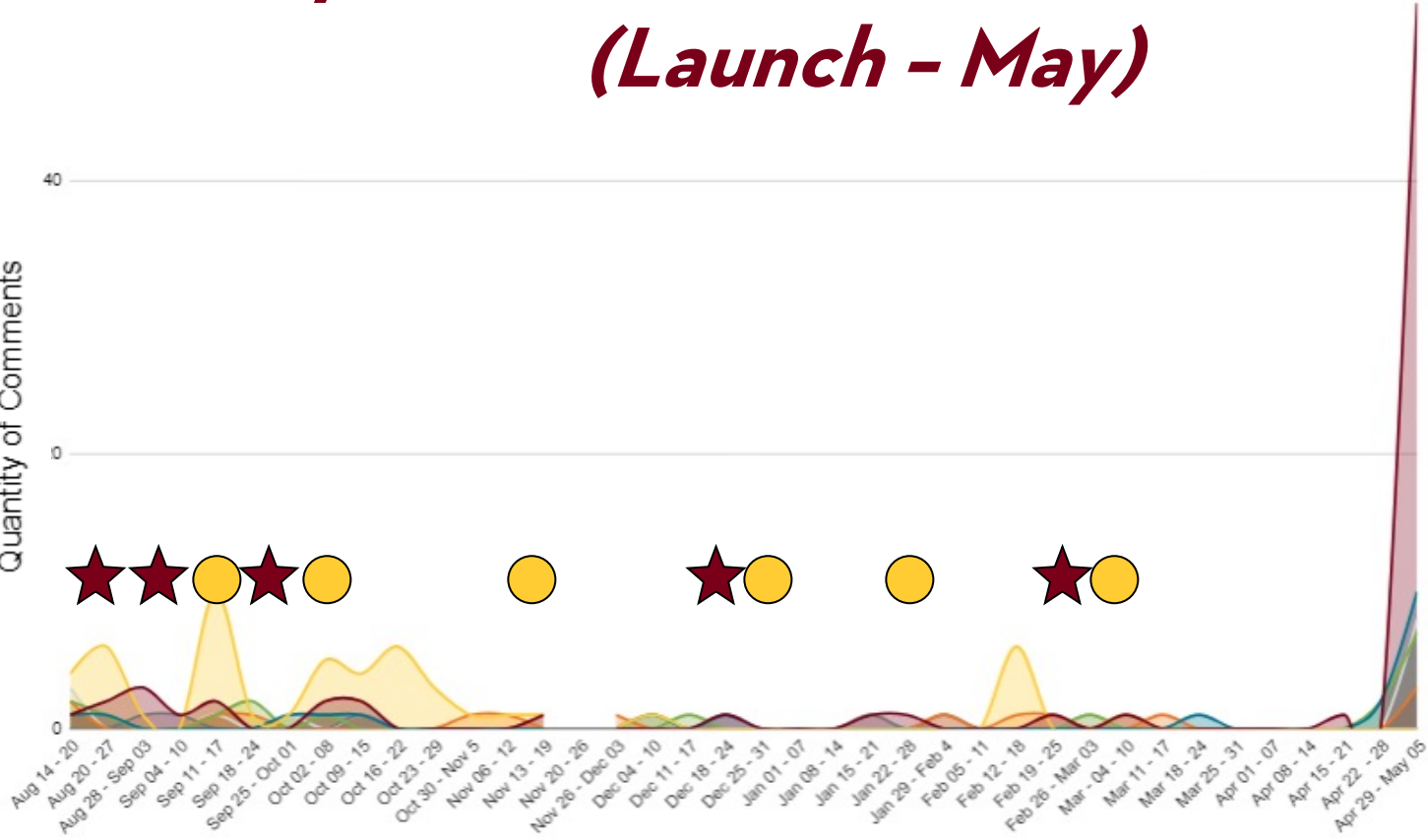


Data By Month and User-Selected Category



Data By Week and User-Selected Category (Launch - May)

Quantity of Comments

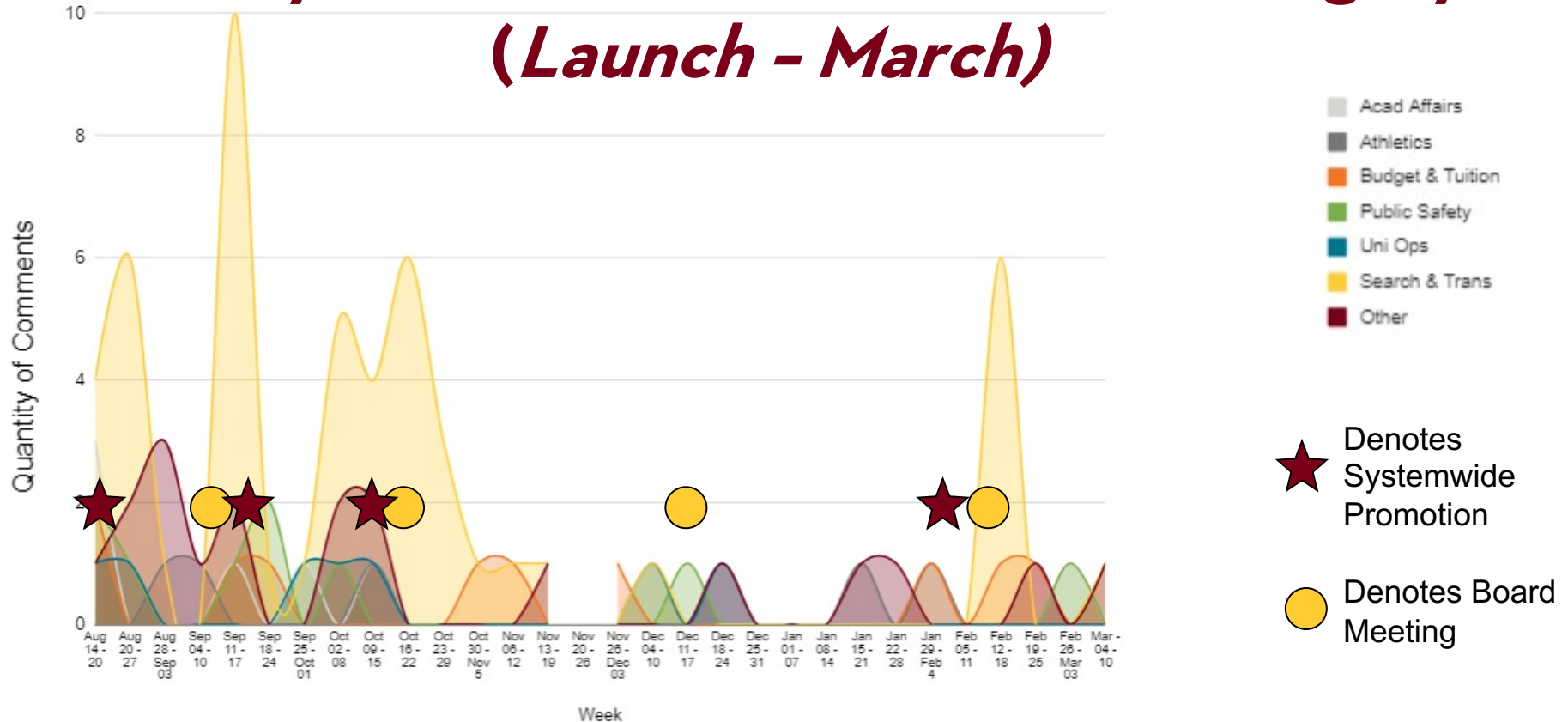


- Acad Affairs
- Athletics
- Budget & Tuition
- Public Safety
- Uni Ops
- Search & Trans
- Other

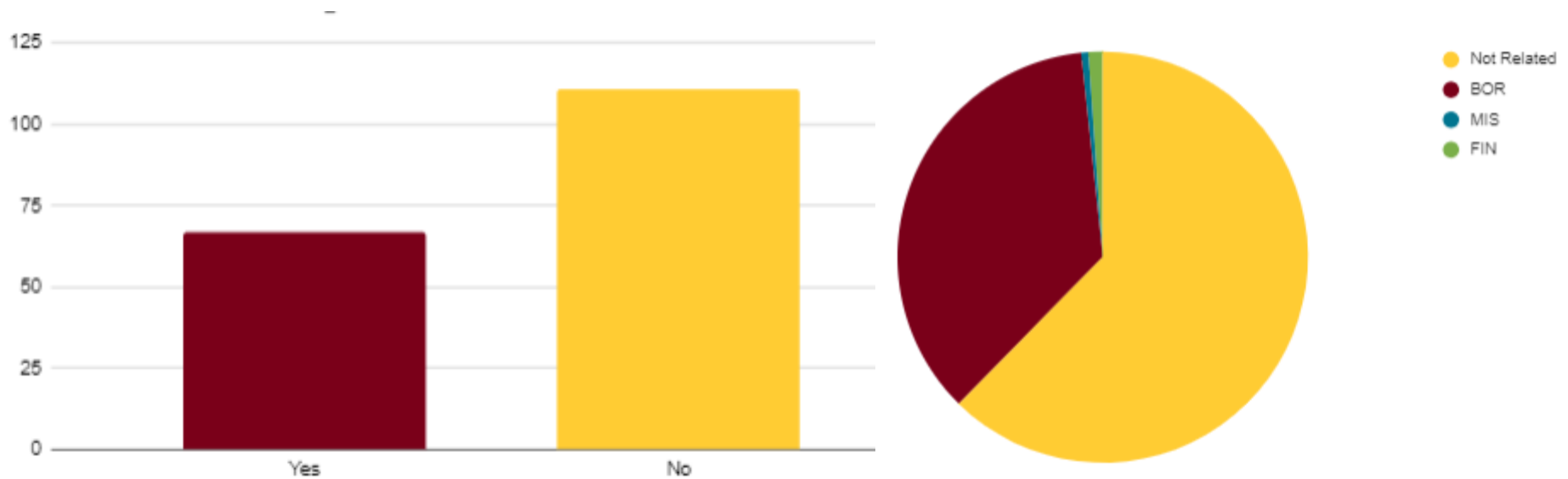
- ★ Denotes Systemwide Promotion
- Denotes Board Meeting



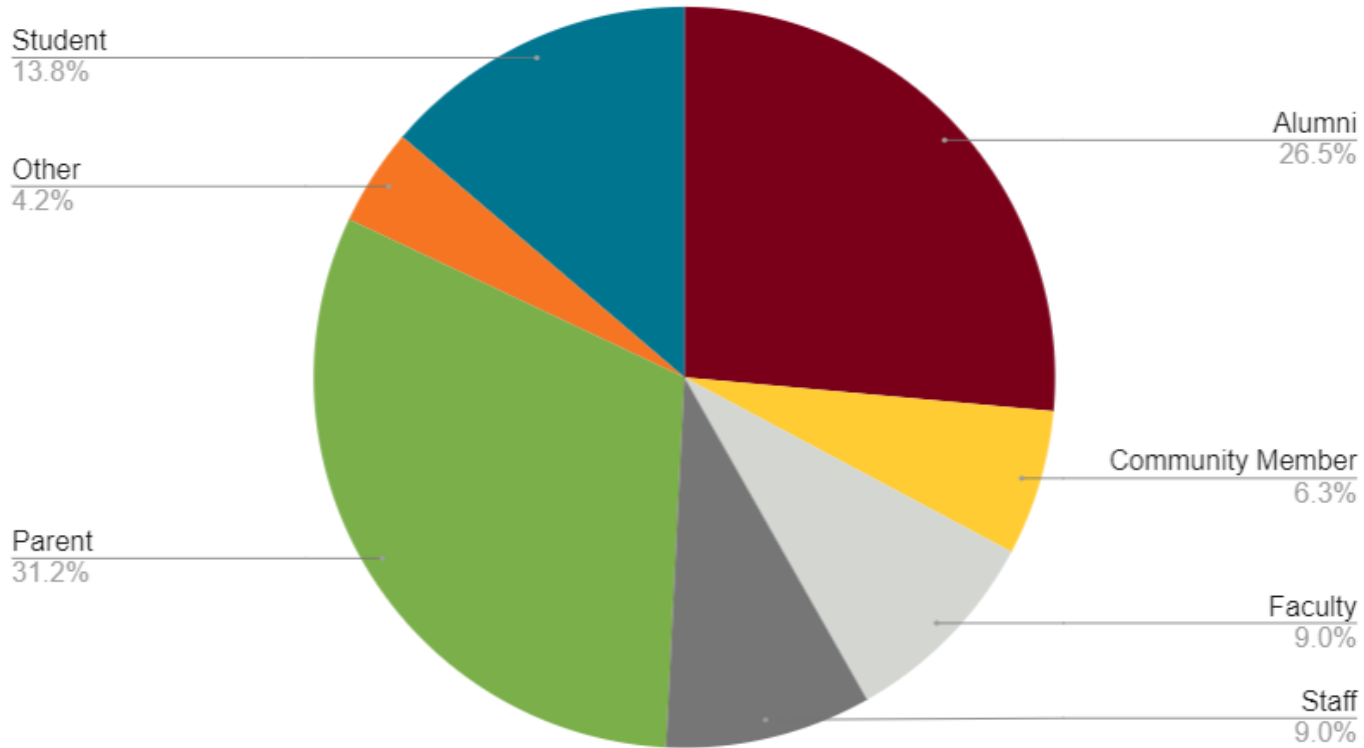
Data By Week and User-Selected Category (Launch - March)



Comments Related to Board Agenda Item?

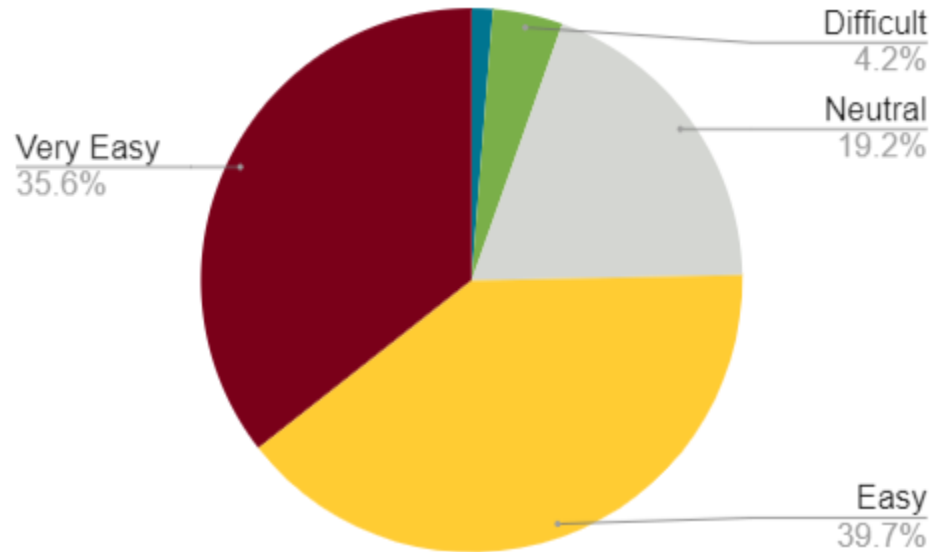


Virtual Forum User Affiliation



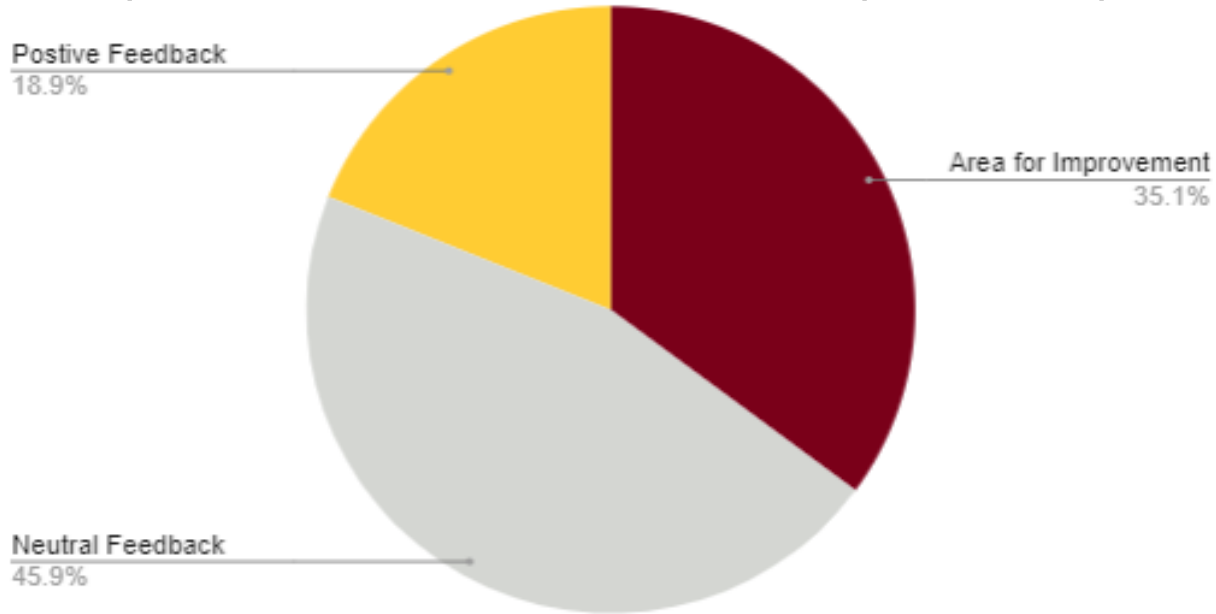
User Feedback Analysis

How easy or difficult was it to use this form to provide input to the Board of Regents? (optional)



User Feedback Analysis

Please share your feedback on how we could improve your experience with this comment portal. (optional)



Key Takeaways

- Use of the Virtual Forum increases around Board meetings and when systemwide promotions of the Forum take place.
- The Virtual Forum usage is higher with external users (parents, alumni, etc.) than with internal users (students, faculty, etc.).
- 75% of users find the Virtual Forum “very easy” or “easy” to use. Those who didn’t, said usability on mobile devices and better promotion of the Forum were areas of needed improvement.



Analysis

Strengths

- *Nimble*
- *Responsive*

Weaknesses

- *Manual review*
- *Misdirected inquiry*
- *No User Authentication*

Opportunities

- *Timely categories*
- *Access via docket*

Hurdles

- *Delayed input to Board*
 - *Bots*
- *Inappropriate content*



Next Steps

Today

Share data on virtual forum usage, provide preliminary staff analysis, and seek feedback

Going Forward

Continue using the virtual forum as the Board considers enhancing engagement





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BOARD OF REGENTS DOCKET ITEM SUMMARY

Governance & Policy

June 14, 2024

AGENDA ITEM: University Policy Overview

Review

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Action

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This is a report required by Board policy.

PRESENTERS:

Jason Langworthy, Associate Secretary, Office of the Board of Regents
Seth Beccard, Policy Program Director and Compliance Officer, Office of Institutional Compliance
Maggie Marchesani, Committee & Policy Coordinator, Office of the Board of Regents

PURPOSE & KEY POINTS

The purpose of this item is to engage the committee with an overview of the University’s policy framework. Also included in the docket is the 2024 Board Policy Report.

University Policy Overview

The overview of the University’s policy framework will center on the University’s two primary systemwide policy types—Board of Regents policy and Administrative policy. This item will focus on:

- The University policy framework hierarchy.
- Key policies that define the policy framework.
- A comparison of Board and Administrative policy.
- The ways in which both policy types are reviewed and amended.

Key policies

Board of Regents Policy: [Board Policy Development](#) defines the content and structure of Board policy and other University policies, including Administrative policy. It defines the University’s policy hierarchy and requires that Board policies be comprehensively reviewed every six years.

Administrative Policy: [Establishing Administrative Policies](#) defines the content and structure of Administrative policies. It defines the review process, including the requirement that Administrative policies be comprehensively reviewed every four years unless an exception is granted.

Both policy types follow a similar review process that includes required and significant consultation with target audiences affected by the policy as well as formal consultation with the relevant committees and senates of the University Senate governance.

Board of Regents Policy

The 88 Board of Regents policies are the highest level of systemwide policy. Board policies govern the University and establish fundamental principles as a basis and guide for later action. They define the Board's reserved and delegated authority. Policies of this type are intended to be enduring given their broader nature.

Adoption and amendments for Board policies are typically recommended by the president and approved by the Board, with the exception of those Board policies that govern how the Board functions (e.g. *Board Operations and Agenda Guidelines, Code of Conduct for Members of the Board of Regents*).

Administrative Policy

Administrative policies are systemwide policies that implement Board policy; achieve compliance with laws, rules, or regulations; or address a risk to the institution that cannot be adequately addressed elsewhere. If there is a conflict between Board and Administrative policies, Board policy takes precedence. Compared to Board policies, Administrative policies are used to administer the University and contain procedures, appendices, FAQs, and forms. Administrative policies are amended more frequently, helping to promote operational efficiency and effectiveness.

Adoption and significant amendments to Administrative policies are approved by the President's Policy Committee (PPC). The PPC is a standing committee of University senior leaders authorized by the president to provide final institutional review and approval of new Administrative policies, significant amendments, or policies proposed for retirement. Minor changes are approved by the Policy Advisory Committee (PAC). PAC is a standing committee of University administrators authorized by the PPC to work in partnership with policy owners to review policy plans and drafts, and make recommendations for action to the PPC.

Board of Regents Policy: *Board Policy Development* does provide that in "unusual circumstances suggest the advisability of Board ratification of other University policies, changes to such policies shall be submitted to the Board for action." This provision is used infrequently, with most recent example of occurring in July 2020 related to changes to the University's sexual misconduct policies to ensure compliance with the U.S. Department of Education's new Title IX regulations.

2024 Board Policy Report

The 2024 Board Policy Report includes two sections—a summary of the current year, and the upcoming year's plan. The 2023–24 policy review summary includes an overview of the past year and notes the policies that:

- Were comprehensively reviewed, but required no changes.
- Were amended by the Board.
- Are pending approval by the Board.
- Remain under review by the policy implementer.

The second part of the report is the 2024–25 policy work plan. Each year, the Office of the Board of Regents develops an annual policy work plan that includes the next set of policies scheduled for comprehensive review, policies requested for inclusion by the Board or the President, or policies held over from the previous year.

BACKGROUND INFORMATION

Board of Regents Policy: *Board Policy Development* defines the Board policy review process and requires an annual report to the Board.



OFFICE OF THE BOARD OF REGENTS
2024 Board Policy Report

2023-24 POLICY REVIEW SUMMARY

The objective of the policy review process is to ensure that the Board’s policies align with the strategic direction and mission of the University as defined by the Board. Over the past year, the Office of the Board of Regents coordinated review of policies identified for comprehensive review and those policies identified for amendment by the Board or President.

Comprehensively Reviewed - No Revisions Recommended	
<i>Copyright</i>	
<i>Employee Compensation and Recognition</i>	
<i>Employee Recruitment and Retention</i>	
<i>Employee Work-Life and Personal Leaves</i>	
<i>Founding Date, Corporate Name and Seal, and University Marks</i>	
<i>Mission Statement</i>	
Amended by the Board of Regents	Date Amended
<i>Diversity, Equity, Inclusion, and Equal Opportunity</i>	December 2023
<i>Institutional Conflict of Interest*</i>	March 2024
<i>Reservation and Delegation of Authority</i>	March 2024
<i>Student Education Records*</i>	October 2023
Pending Action by the Board of Regents	Anticipated Action
<i>Student Services Fee</i>	June 2024
<i>Tuition and Fees</i>	June 2024
Drafting of Amendments in Progress	
<i>Academic Misconduct</i>	
<i>Conflict Resolution Process for Student Academic Complaints</i>	
<i>Faculty Tenure*</i>	
<i>International Education, Research, and Outreach</i>	
<i>Openness in Research</i>	
<i>Research Involving Human Participants</i>	
<i>Sexual Harassment, Sexual Assault, Stalking and Relationship Violence</i>	
<i>Student Conduct Code*</i>	

Still Under Review by Policy Implementer
<i>Associated Organizations</i>
<i>Attorneys and Related Services</i>
<i>Central Reserves Fund</i>
<i>Code of Conduct</i>
<i>Health and Safety</i>
<i>Intercollegiate Athletics - Twin Cities Campus</i>
<i>Investment Functions</i>
<i>Investment of Reserves</i>
<i>Legal Claims and Settlements</i>
<i>Legal Review of Contracts and Transactions</i>

* Off-cycle change added to the work plan at the request of the Board or President.

2024-25 POLICY WORK PLAN

Each year, the Office of the Board of Regents develops a policy work plan that includes policies scheduled for comprehensive review, policies requested for inclusion by the Board or the President, or policies held over from the previous year.

Policies for Comprehensive Review	Last Reviewed	Adopted or Last Amended	Policy Implementer
<i>Academic Freedom and Responsibility</i>	2018-19	2011	Provost
<i>Appearances Before the Legislature and Other Public Bodies</i>	2018-19	2006	President
<i>Code of Conduct for Members of the Board of Regents</i>	2018-19	2020	Board of Regents
<i>Conflict Resolution Process for Employees</i>	2018-19	2010	Human Resources
<i>Debt Transactions and Long-Term Capital Financing Program</i>	2018-19	2022	University Finance
<i>Faculty Tenure</i>	2018-19	2020	Provost
<i>Internal Control</i>	2018-19	2012	Internal Audits
<i>Libraries and Archives</i>	2018-19	2006	Provost
<i>Nepotism and Personal Relationships</i>	2018-19	2012	Equity and Diversity
<i>Possession and Carrying of Weapons</i>	2018-19	2003	General Counsel
<i>Safety of Minors</i>	2018-19	2013	General Counsel

Policies for Comprehensive Review	Last Reviewed	Adopted or Last Amended	Policy Implementer
<i>Selection of Design Professionals and Wage Rates for Contractors</i>	2018-19	2020	University Services
<i>Submitting and Accepting Sponsored Projects</i>	2018-19	2022	Research
<i>Targeted Business, Community Economic Development, and Small Business Programs</i>	2018-19	2021	University Finance

Carried Over from 2023-24 Plan
Drafting of Amendments in Progress
<i>Academic Misconduct</i>
<i>Conflict Resolution Process for Student Academic Complaints</i>
<i>Faculty Tenure*</i>
<i>International Education, Research, and Outreach</i>
<i>Openness in Research</i>
<i>Research Involving Human Participants</i>
<i>Sexual Harassment, Sexual Assault, Stalking and Relationship Violence</i>
<i>Student Conduct Code*</i>
Still Under Review by Policy Implementer
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<i>Investment of Reserves</i>
<i>Legal Claims and Settlements</i>
<i>Legal Review of Contracts and Transactions</i>

TYPES OF REVIEW

Board policies undergo three main types of review and change:

1. Comprehensive Review

The purpose of the comprehensive review is to determine:

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

The comprehensive review also ensures that policies are monitored and reviewed in a timely manner. Each of the 88 Board policies is comprehensively reviewed every six years. Policies are divided into “classes,” which seek to balance review load across policy implementers and Board committees. Comprehensive review does not automatically lead to changes in a given policy; policies not requiring amendments are noted as current and placed back into the review cycle.

2. Off-Cycle Change

Off-cycle changes to Board policies focus on specific, essential, and time-sensitive changes and are outside of the comprehensive review cycle. When opened for an off-cycle change, the policy is not comprehensively reviewed and remains in its regular review cycle. Off-cycle changes follow the policy review process.

3. Technical Change

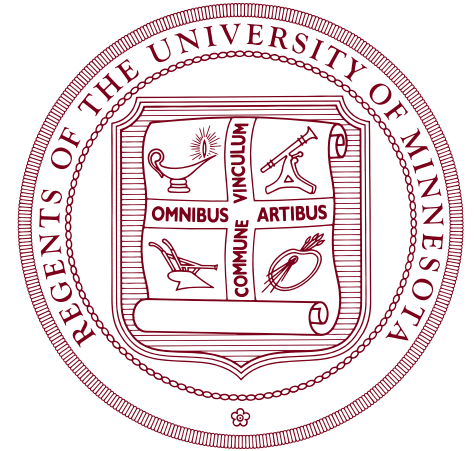
Board of Regents Policy: *Board Policy Development* Section IV. allows for minor corrections that do not alter the substance of the policy to be made by the executive director & corporate secretary, with review by the Board chair. Technical changes are noted on the policy and updated in the Board’s policy index.

University Policy Overview

Jason Langworthy
Associate Secretary
Office of the Board of Regents

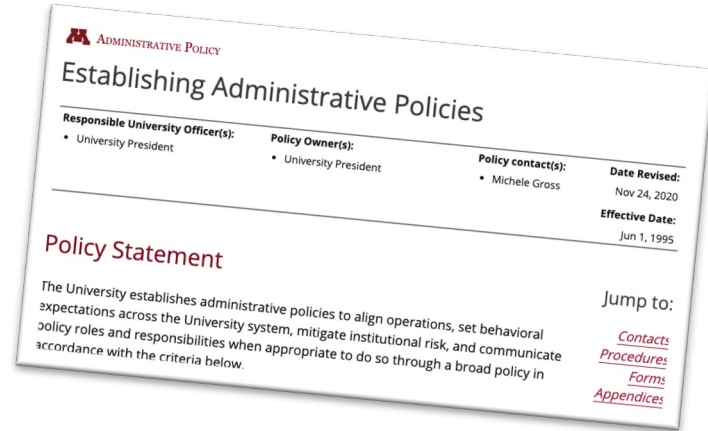
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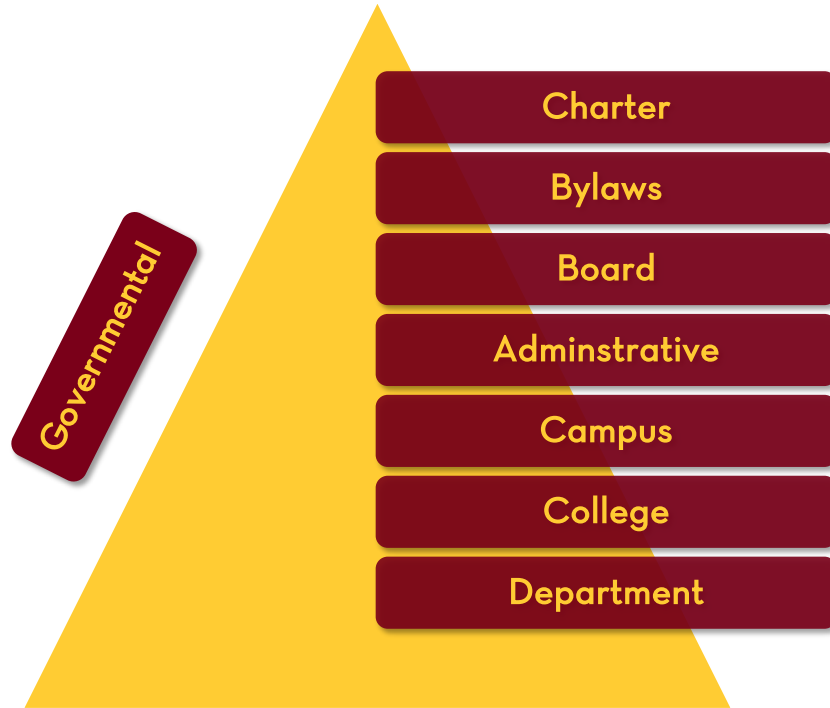


University Policy Framework

- Key policies
 - Board of Regents Policy: *Board Policy Development*
 - Administrative Policy: *Establishing Administrative Policies*



University Policy Framework Hierarchy



Comparison:

Board Policies to Administrative Policies

- Both policy classifications
 - Systemwide.
 - Follow similar revision process and consultation model.
 - Language aimed for use by the broad University community.
- Board policies
 - 88 policies broken into six categories.
 - Establish fundamental principles as a basis and guide for later action.
 - Defines reserved and delegated authority.
 - Intended to be enduring.



Comparison:

Board Policies to Administrative Policies

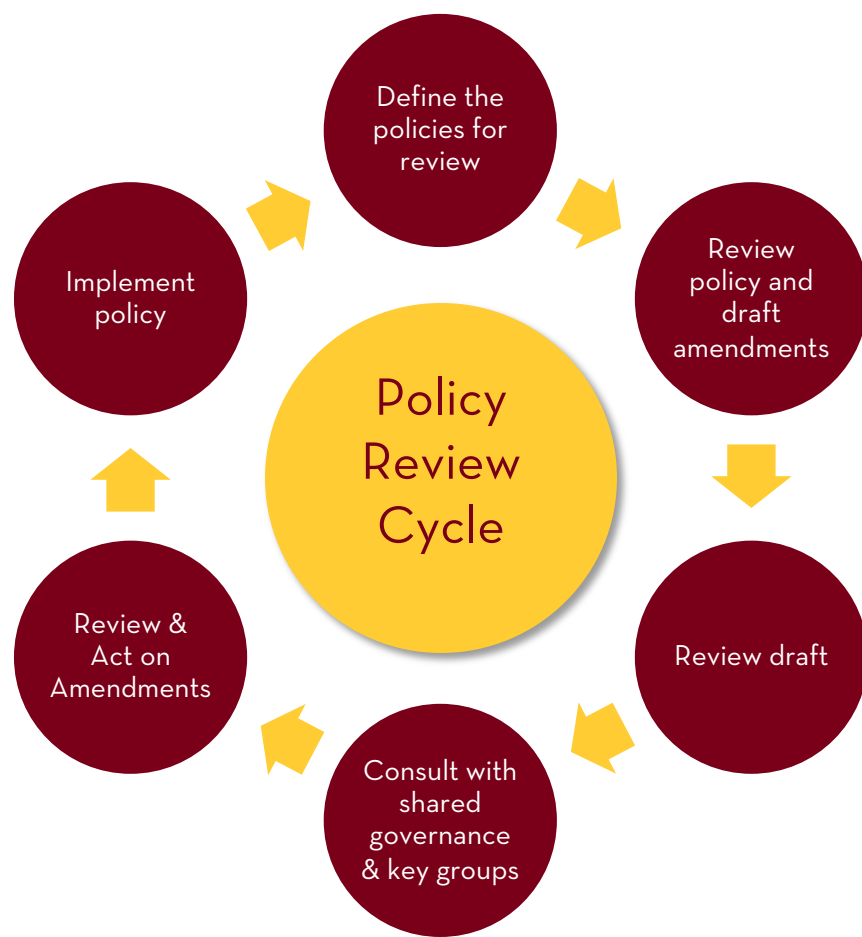
- Administrative policies
 - ~200 policies broken into six categories.
 - Implement Board policy; achieve compliance with laws, rules, or regulations; or address a risk to the institution that cannot be adequately addressed elsewhere.
 - Contain procedures, appendices, FAQ and forms.
 - Promote operational efficiency and effectiveness.
 - Amended more frequently.



Types of Review

- Comprehensive review
 - Objective of the review is to determine:
 - Whether the content established in the policy still aligns with the strategic direction and mission of the University.
 - If the policy is still needed.
 - Whether the policy aligns with current practice.
 - May or may not result in changes to the policy.
 - Frequency
 - Board – every six years.
 - Administrative – every four years unless an exception is granted.





Types of Review

- Off-cycle change
 - Focus on specific, essential, and time-sensitive changes.
 - Outside of the comprehensive review cycle.
- Technical change
 - Minor corrections that do not alter the substance of the policy.





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