

UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS

Audit & Compliance Committee  
October 12, 2023

A meeting of the Audit & Compliance Committee of the Board of Regents was held on Thursday, October 12, 2023, at 8:00 a.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: James Farnsworth, presiding; Mary Davenport, Robyn Gulley, Mike Kenya, and Bo Thao Urabe.

Staff present: Interim Chancellor David McMillan; Executive Vice President and Provost Rachel Croson; Vice President Ken Horstman; Executive Director Brian Steeve; Chief Auditor Quinn Gaalswyk and Associate Vice President Katharine Bonneson and Michael Volna.

Student Representatives present: Alex Middendorf and Niko Vasilopoulos.

The docket materials for this meeting are available [here](#).

#### OVERVIEW OF ANNUAL FINANCIAL STATEMENTS REVIEW

Regent Farnsworth invited Mollie Viola, Controller, and Associate Vice President Volna to provide an overview of the annual financial statements review process as detailed in the docket.

The docket materials for this item begin on page 6. The closed captioned video of this item is [available here](#).

#### SAFETY TRAINING PROCESS UPDATES

Regent Farnsworth invited Associate Vice President Bonneson to provide an update on efforts to improve the coordination and oversight of the University's safety training process as detailed in the docket.

The docket materials for this item begin on page 6. The closed captioned video of this item is [available here](#).

#### AMENDMENTS TO THE OFFICE OF INTERNAL AUDIT CHARTER

Regent Farnsworth invited Chief Auditor Gaalswyk to present 9120.00000912 0 61-(i)5(te) Qteu

A motion was made and seconded to recommend approval of the proposed amendments to the Office of Internal Audit Charter.

Regent Guley said, "I move that the amendments to the Office of Internal Audit Charter be approved as amended. This motion is seconded."

The committee voted unanimously to adopt the Guley amendment.

The committee voted unanimously to recommend approval of the proposed Amendments to the Office Internal Audit Charter as amended.

### INTERNAL AUDIT UPDATE

Regent Farnsworth invited Chief Auditor Gaalswyk to provide the internal audit update, as detailed in the docket.

The docket materials for this item begin on page 25. The closed captioned video of this item is [available here](#).

A meeting of the Special Committee on Academic Health of the Board of Regents was held on Thursday, October 12, 2023, at 8:00 a.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Penny Wheeler, presiding; Doug Huebsch, Ruth Johnson, Janie Mayeron, Mary Turner, and Kodi Verhalen.

Staff present: Interim President Jeff Ettinger; Chancellor Lori Carrell; Vice Presidents Shashank Priya and Jakub Tolar; General Counsel Douglas Peterson; Executive Director Brian Steeves; Chief Public Relations Officer Chuck Tombarge; Associate Vice President Michael Volna; and Executive Director of Government and Community Relations Melisa López Franzen.

The docket materials for this meeting are [available here](#).

Regent Wheeler and Vice President Tolar reviewed the 2023-24 special committee work plan, as detailed in the docket.

The docket materials for this item begin on page 3. The closed-captioned video of this item is [available here](#).

Regent Wheeler invited Vice President Tolar, William Sibert, Associate Dean and Chief Financial Officer of the Medical School and Chief Financial Officer, M Physicians, and Ken Holmen, President and CEO of CentraCare, to present for action the proposed academic affiliation agreement with CentraCare, as detailed in the docket.

The docket materials for this item begin on page 6. The closed-captioned video of this item is [available here](#).

A motion was made and seconded, and the special committee vot

The docket materials for this item begin on page 43. The closed-captioned video of this item is [available here](#).

Regent Wheeler invited Interim President Ettinger and Vice President Tolar to provide an update on the Governor's Task Force on Academic Health at the University of Minnesota, as detailed in the docket.

The docket materials for this item begin on page 53. The closed-captioned video of this item is [available here](#).

The meeting adjourned at 9:07 a.m.



*EQUITY, DIVERSITY,  
EQUAL OPPORTUNITY, AND AFFIRMATIVE ACTION*

Regent R. Johnson invited Associate Vice President Marisam, to review the proposed amendments to the Board of Regents Policy: \_\_\_\_\_, as detailed in the docket.

The docket materials for this item begin on page 65. The closed-captioned video of this item is [available here](#).

*STUDENT EDUCATION RECORDS*

Regent R. Johnson invited Carrie Ryan Gallia, Senior Associate General Counsel, and Stacy Tidball, Associate Vice Provost for Academic Support Resources, to present for review and action the proposed amendments to Board of Regents Policy: \_\_\_\_\_, as detailed in the docket.

The docket materials for this item begin on page 73. The closed-captioned video of this item is [available here](#).

A motion was made and seconded to adopt on behalf of the Board of Regents the proposed amendments to Board of Regents Policy:

Regent Verhalen moved to amend Sectio amend Semen

mQm

The docket materials for this item begin on page 84. The closed-captioned video of this item is [available here](#).

Medical School (Twin Cities campus) – requests approval to create a Blood and Marrow Transplant and Cellular Therapies Fellowship

Medical School (Twin Cities campus) – requests approval to create a DermatoAllergology Fellowship

Prasad Boradkar, professor with tenure, Department of Graphic Design, Apparel Design, Retail Merchandising, & Product Design, College of Design, Twin Cities campus

Saara DeWalt, professor with tenure, Department of Plant and Microbial Biology, College of Biological Sciences, Twin Cities campus

Eric Severson, associate professor with tenure, Department of Mechanical Engineering, College of Science and Engineering, Twin Cities campus

Michelle Statz, associate professor with tenure, Department of Family Medicine & Biobehavioral Health, Medical School, Twin Cities campus

A motion was made and seconded, and the committee voted unanimously to approve on behalf of the Board of Regents the Consent Report.ities campus)

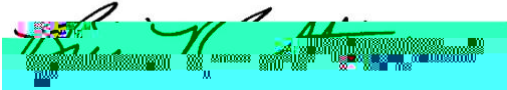








The meeting adjourned at 3:43 p.m.



Year 2023-24

UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS

Governance & Policy Committee

—

—

—





Governance & Policy Committee – September 8, 2023  
Special Committee on University Relations – September 8, 2023  
Board of Regents – September 8, 2023  
Litigation Review Committee – September 12, 2023

The docket materials for this item begin on page 5. The closed-captioned video of this item is [available here](#).

Interim President Ettinger delivered the report of the President.

The docket materials for this item begin on page 45. The closed-captioned video of this item is [available here](#).

Regent Mayeron delivered the report of the Chair.

The docket materials for this item begin on page 46. The closed-captioned video of this item is [available here](#).

Regent Mayeron noted the following reports to receive and file this month:

- Virtual Forum Comments
- Summary of Expenditures for the Office of the President, Eastcliff, and the Office of the Board of Regents
- Annual Report on Legal Matters

The docket materials for this item begin on page 47. The closed-captioned video of this item is [available here](#).

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

- A. Gifts
- B. Nominations to the University of Minnesota Foundation Board of Trustees

The docket materials for this item begin on page 63. The closed-captioned video of this item is [available here](#).

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



Regent Mayeron presented for review and action the membership and charge of the Presidential Search Advisory Committee, as detailed in the docket.

A motion was made and the Board voted unanimously to approve the recommendation included in the report of the Audit & Compliance Committee.

Subd. 4. School Official.

shall mean a person employed by the University in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the University has contracted to perform an institutional service or function in accordance with law; a person serving on the Board of Regents; or a student serving on a University committee or otherwise assisting another school official in performing institutional tasks.

Subd. 5. Student.

*Student* shall mean any person that is currently or has ever registered for and attended any University for-credit class. Attendance is determined as of the first day of the first term for which students have enrolled for classes and is not dependent on the modality of classes (e.g., in person, remote, and online).

Subd. 6. Student Education Records.

*Student education records* shall mean any record maintained by the University that contains personally identifiable information about a student, regardless of its format or method of storage. Student education records shall not include law enforcement records maintained separately from education records, University employment records, and medical or psychological counseling records, all of which are protected according to provisions of state and federal law and University policy.

Subd. 7. 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.

SECTION IV. ACCESS TO STUDENT RECORDS.

Subd. 1. Access to Student Directory Information.

Directory information shall be publicly available and may be disclosed to any person without the student's consent unless the student has suppressed or prohibited disclosure of the information. Students shall be given the opportunity to suppress their directory information once they are enrolled. Access to directory information for newly enrolled students becomes publicly available for the first time on the first day of classes of their first term of enrollment.

Subd. 2. Access to Limited Directory Information.

Limited directory information shall be available to any student group as defined by Section III, Subd. 7 of this policy, a school official as defined by Section III, Subd. 4 of this policy, and county auditors for voter registration purposes in accordance with Minnesota State Statutes § 135A.17, Subd. 2 which information shall be limited to the student's name and physical address, unless the student has suppressed or prohibited disclosure of their information. Students shall be given the opportunity to suppress their limited directory information once they are enrolled. Access to limited directory information for newly enrolled students becomes available for the first time on the first day of classes of their first term of enrollment.

Subd. 3. Access to Private Student Education Records.

Access to private student education records shall be made available to the student that is the subject of the records, consistent with federal and state law, provided that the private information of others is not included or disclosed.

The University may disclose private student education records to the extent permissible under federal and state laws as follows:

- (a) to school officials with a legitimate educational interest in the information;
- (b) to persons specifically authorized by the student in writing to receive the information;
- (c) to other educational institutions in which the student seeks to enroll or is already enrolled so long as the disclosure is for purposes related to the student's enrollment or transfer;
- (d) to organizations conducting research studies for or on behalf of educational agencies or institutions, provided the study is conducted in a manner that does not permit personal identification of parents and students and there is a written agreement with the organization;
- (e) to persons in compliance with a court order or lawfully issued subpoena, provided that a reasonable attempt is made to notify the student where required prior to release;
- (f) to appropriate members of the court system when legal actions against the University is initiated by the student and the disclosure is part of the University's defense;
- (g) to appropriate persons in connection with an emergency if knowledge of the information is necessary to protect the health or safety of the student or other individuals;
- (h) to accrediting organizations and state or federal education authorities using information for auditing, evaluating, or enforcing legal requirements of educational programs, provided the data is protected to prohibit the identification of students and all personally identifiable information is destroyed when no longer needed;
- (i) to appropriate persons or agencies in connection with a student's application for or receipt of financial aid to determine eligibility, amount, or conditions of financial aid and to enforce the terms and conditions of the aid;
- (j) to parents of a dependent student as defined under the Internal Revenue Code;
- (k) the final results of a disciplinary proceeding, regardless of outcome, to the victim of an alleged perpetrator of a crime of violence or a nonforcible sex offense;
- (l) the final results of a disciplinary proceeding that a student has violated an institutional rule or policy in connection with a crime of violence or nonforcible sex offense; and
- (m) disclosures concerning sex offenders and other persons required to register as offenders under federal law.

#### SECTION V. ADMINISTRATIVE PROCEDURES.

The University shall maintain administrative procedures that fulfill its legal obligations regarding student education records, including, but not limited to, notice of rights to students, access to education records, recordkeeping requirements, the right to request amendment of education records, and hearing rights.

- 2) Approval of the Consent Report for the Mission Fulfillment Committee as presented to the committee and described in the October 12, 2023, committee minutes.

Regent Huebsch, chair of the committee, reported that the committee voted unanimously to approve on behalf of the Board the following items.



2) The resolution related to the Supplemental FY 2025 Budget Request to the State of Minnesota. The resolution is as follows:

WHEREAS, the University of Minnesota (University), the State of Minnesota's (State) only public, land-grant university, is charged with the responsibility to pursue knowledge through research and discovery, apply this knowledge through teaching and learning, and outreach and public engagement; and

WHEREAS, the University is committed to a continuous process of reevaluating priorities and increasing the efficiency and effectiveness of both direct mission and support activities, reinvesting budget savings into mission-critical strategies; and

WHEREAS, the University, in partnership with the State, can better support financial access and affordability to postsecondary education for Minnesota students and families; and

WHEREAS, the University is committed to supporting students through services that enhance their educational experience and by equitably reducing financial barriers to student achievement; and

WHEREAS, the University has an economic impact on the State of Minnesota; and

The committee docket materials can be found [here](#). The closed-captioned video of this item is [available here](#).

Regent Wheeler, chair of the special committee, reported that the special committee voted unanimously to recommend the following item:

- 1) Approval of the proposed academic affiliation agreement with CentraCare.

The committee docket materials can be found [here](#). The closed-captioned video of this item is [available here](#).

A motion was made and the Board voted unanimously to approve the recommendation included in the report of the Special Committee on Academic Health.

Regent Thao-Urabe, chair of the committee, reported that the committee did not take action on any items this month.

The committee docket materials can be found [here](#). The closed-captioned video of this item is [available here](#).

A motion was made and seconded that the following resolution be adopted:

WHEREAS, based on advice of the General Counsel, the Board of Regents have 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 the Board of Regents be held on Friday, October 13, 2023 in the Boardroom, 600 McNamara Alumni Center, for the purpose of an attorney-client

Regents present for the non-public portion: Janie Mayeron, presiding; Douglas Huebsch, Mary Davenport, James Farnsworth, Robyn Gulley, Ruth Johnson, Tadd Johnson, Bo Thao-Urabe, Mary Turner, Kodi Verhalen, and Penny Wheeler.

Staff present for the non-public portion: Interim President Jeffrey Ettinger; Senior Vice President Myron Frans; General Counsel Douglas Peterson; Vice President Bernard Gulachek; Executive Director Brian Steeves; Chief Auditor Quinn Gaalswyk; Chief Public Relations Officer Chuck Tombarge.

Others present for the non-public portion: Laurie Beyer-Kropuenske, Brian Dahlin, Jonathan Harper, Dan Herber, Jason Langworthy, Brian Slovut, Jon Steadland, and Marlo Welshons.

The meeting adjourned at 1:46 p.m.

A handwritten signature in black ink is visible above a solid black rectangular redaction box.