



REGENT CANDIDATE ADVISORY COUNCIL

RECRUITMENT SCHEDULE 2004-2005

As adopted at the RCAC meeting on September 19, 2003

Monday, December 6, 2004	Application deadline
Friday, January 7, 2005	Council meeting to review candidate applications
Week of January 24-28, 2005*	Candidate interviews and final selection
Friday, January 28, 2005*	Council voting for final candidates to recommend to legislature

* The council will use as many days during this period as necessary to accommodate the number of candidates to be interviewed. Final voting will happen on the last day of interviews, which may be earlier than January 28, 2005.



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY**

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**Board Operations
RESPONSIBILITIES OF THE BOARD AND
INDIVIDUAL REGENTS**

Adopted: February 10, 1989

Amended: October 10, 2003

**RESPONSIBILITIES OF THE BOARD
AND INDIVIDUAL REGENTS**

Subd. 1. Responsibilities of the Board of Regents. Responsibilities of the Board of Regents (Board) include the following:

- (a) Clarify the mission of the University of Minnesota (University) and approve programs necessary to fulfill that mission.
- (b) Monitor and evaluate the performance of the institution in achieving its goals and fulfilling its mission.
- (c) Appoint, monitor, advise, motivate, support, evaluate, and, if necessary or advisable, replace the president.
- (d) Approve major policies, long-range plans, educational programs, and annual budgets, while clearly delegating administrative responsibilities.
- (e) Accept fiduciary responsibility for the long-term welfare of the University.
- (f) Ensure adequate resources—human, financial, physical—and effective management of those resources.
- (g) Preserve institutional autonomy, recognizing that the preservation of autonomy requires accountability.
- (h) Foster collaboration with other educational systems and institutions, consistent with the University's mission.
- (i) Serve as a court of appeals when appropriate.
- (j) Enhance the public image of the University.
- (k) Regularly evaluate the Board's performance and strive to improve it.
- (l) Ensure that the University remains an equal opportunity institution.



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Board Operations
RESPONSIBILITIES OF THE BOARD AND
INDIVIDUAL REGENTS

Adopted: February 10, 1989

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Subd. 2. Individual Regent Responsibilities. Responsibilities of individual members of the Board include the following:

- (a) To support the mission of the University.
- (b) To maintain loyalty to the entire institution rather than to any part of the University or constituency within it.
- (c) To maintain the highest ethical standards, abiding by Board policies with respect to ethics and conflicts of interest.
- (d) To seek to be fully informed about the University and its role in the state and in higher education and to be responsive to the changing environments that affect it.
- (e) To speak forthrightly at Board meetings and to support Board decisions when determined.
- (f) To understand that the Board's role is policy making rather than involvement in administration or management.
- (g) To strengthen and sustain the president while being an active, energetic, and probing Board member who exercises critical judgment on policy matters.
- (h) To communicate promptly to the president any significant concern or complaint for administrative disposition.
- (i) To defend the autonomy and independence of the University.
- (j) To represent all the people of Minnesota and no particular interest, community, or constituency.
- (k) To enhance the public image of the University and the Board.
- (l) To recognize that authority rests only with the Board as a whole and not in its individual members.



UNIVERSITY OF MINNESOTA BOARD OF REGENTS POLICY

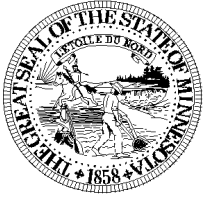
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Board Operations RESPONSIBILITIES OF THE BOARD AND INDIVIDUAL REGENTS

Adopted: February 10, 1989

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- (m) To recognize that the president is the primary spokesperson for the University, and the chair of the Board is the only other person authorized to speak for the Board.
- (n) To foster openness and trust among members of the Board, the administration, the faculty, the students, state government, and the public.
- (o) To maintain respect for the opinions of Board colleagues and a proper restraint in criticism of colleagues and officers.
- (p) To recognize that no Board member shall make any request or demand for action that violates the written policies, rules, or regulations of the Board or the University.



Regent Candidate Advisory Council

CRITERIA FOR MEMBERS OF THE BOARD OF REGENTS OF THE UNIVERSITY OF MINNESOTA

A. Personal

1. Integrity with a code of personal honor and ethics above reproach.
2. Wisdom and breadth of vision.
3. Independence.
4. An inquiring mind and an ability to speak articulately and succinctly.
5. Ability to challenge, support, and motivate administration.
6. An appreciation of the distinct missions of the University of Minnesota.
7. The capability and willingness to function as a member of a diverse group in an atmosphere of collegiality and selflessness.
8. An appreciation of the public nature of the position and the institution including the open process of election and service.

B. Professional/Experiential

1. Knowledge and experience that relate to the Board of Regent's problems, opportunities, and deliberations.
2. A record of accomplishment in one's own life.
3. An understanding of the system of higher education in Minnesota and the role of the University in that system.



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

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Board Operations
CODE OF ETHICS FOR MEMBERS OF THE
BOARD OF REGENTS

Adopted: February 9, 1996

Supersedes: (see end of policy)

CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

ARTICLE 1
PREAMBLE

Subd. 1. Public Trust. The Board of Regents is responsible for the governance of the University of Minnesota. In carrying out this public trust, constitutionally conferred, regents bring to the task their own varied backgrounds and expertise. In doing so, regents are expected to put aside parochial interests; they are expected to keep the welfare of the entire University, not just some particular constituency, at all times paramount.

Subd. 2. Implications of Recusal. Conflict of interest comes in many forms and cannot be entirely avoided. Recusal on a particular matter because of a conflict does not reflect adversely on the involved regent, but is simply a recognition that, in a complex and interconnected society, conflicts will occur. When this happens, recusal is necessary to assure that a regent's independence of judgment is not compromised, that the public's confidence in the integrity of the Board of Regents is preserved, and that the University's public mission is protected.

Subd. 3. Interpretation and Application. This policy shall be interpreted and applied in a manner that will serve the best interests of the entire University. In some cases, it may be determined that, after full disclosure and consideration of the particular facts, a conflict of interest is clearly insubstantial and that the University's interests are best served by participation of the regent on the particular issue involved; however, if doubt remains as to whether there should be a recusal, the doubt should be resolved in favor of recusal.

Subd. 4. Time Commitment. In undertaking the duties of the office, a regent shall make the necessary commitment of time and diligence to carry out the regent's public governance responsibilities.

Subd. 5. Regental Authority. A regent shall not use the authority, title, or prestige of the regental office to solicit or otherwise obtain a private financial, social, or political benefit, which in any manner would be inconsistent with the public interest.



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BOARD OF REGENTS POLICY

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Board Operations
**CODE OF ETHICS FOR MEMBERS OF THE
BOARD OF REGENTS**

Adopted: February 9, 1996

Supersedes: (see end of policy)

ARTICLE 2
CODE OF ETHICS POLICY

SECTION I. CONFLICT OF INTEREST.

Subd. 1. Elements of a Conflict. A regent has a conflict of interest whenever the regent or a regent's family member or a business associated with a regent or a regent's family member (insofar as may be known to the regent) has an existing or potential financial interest, or any other interest, in a matter pending before the Board of Regents that impairs the regent's independence of judgment or objectivity in the discharge of the regent's public governance responsibilities.

(a) **Family Member.** "Family member" includes spouse; parents; siblings; children; domestic partner; and any person residing in the regent's household.

(b) **Business Associated with a Regent.** "Business associated with a regent" means an organization, corporation, partnership, proprietorship or other entity with respect to which either the regent or (insofar as may be known to the regent) a member of the regent's family:

(1) receives compensation in excess of \$500 in any month or has any contractual right to future income in excess of \$6,000 per year excluding compensation from the University, any governmental source, investment or savings income, retirement or insurance benefits, or alimony;

(2) serves as an officer, director, partner, or employee; or

(3) holds a financial interest valued in excess of \$10,000.

(c) **Financial Interest.** "Financial interest" means a foreseeable nontrivial financial effect which may result from a regental action.

Subd. 2. Deliberations and Voting. A regent shall be absent from any deliberations or vote on a matter in which the regent's employment relationships may impair independence of judgment.

Subd. 3. Candidacy for Public Office. Active candidacy for, and service in, any partisan, elective public office is a conflict of interest. A regent shall resign from the Board of Regents upon officially announcing candidacy for such office.

SECTION II. GIFTS AND EXPENSES.

Subd. 1. Acceptance of Gifts. A regent shall not accept any gift or accommodation except as permitted by Board of Regents policy. This prohibition does



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**CODE OF ETHICS FOR MEMBERS OF THE
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not apply to complimentary tickets to University events furnished in accordance with Board of Regents policy.

Subd. 2. Reimbursement for Expenses. Regents serve without compensation. However, they are entitled to receive reimbursement for expenses incurred while representing the University in their official capacity.

SECTION III. FINANCIAL DISCLOSURE.

A regent shall upon election to office, and annually on September 30 thereafter, file a financial disclosure statement with the Secretary of the Board of Regents in a form consistent with the financial disclosure required for senior University officials. The general counsel shall review the disclosure forms for compliance with this policy.

SECTION IV. CONFLICT OF INTEREST PROCEDURES.

Subd. 1. Review of Procedures. The Board of Regents, with the assistance of the general counsel, shall publicly review at the beginning of each fiscal year the requirements and procedures provided in this policy.

Subd. 2. Notation of Conflict. A regent who discloses or acknowledges a conflict of interest shall note the conflict and recusal in an appropriate place in the Board of Regents' minutes.

Subd. 3. Acknowledgment of Conflict. Actual or possible conflicts of interest shall be called to the attention of the chair of the Board of Regents at the earliest opportunity. Actual or possible conflicts of interest may be brought to the attention of the chair by an individual regent, or by any other person.

(a) A regent regarding whom a conflict of interest question arises is encouraged to consult with the general counsel, and may request the general counsel to provide a written opinion on whether a conflict of interest exists under this policy. A copy of any such opinion shall be provided to the chair. The chair may also request an opinion from the general counsel on any conflict of interest question that comes to the chair's attention.

(b) Any disputed issues relating to the existence of a conflict of interest requiring recusal shall be decided by the chair who may, at the chair's discretion, refer the question to an ad hoc group of regents consisting of the chair, the vice chair, and one other regent appointed by the chair. If the chair or vice chair is the subject of the conflict of interest, another regent shall be appointed by the ranking regent.



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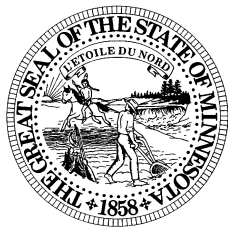
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Supersedes: (see end of policy)

(c) The chair, or the ad hoc group, as the case may be, shall decide the conflict of interest issue and report the decision to the Board of Regents; however, in all cases the Board of Regents is the final authority on conflict questions.

(d) The regent with the conflict of interest issue shall not participate in the conflict of interest deliberations or vote of the ad hoc group or the Board of Regents.

Subd. 4. Deliberations and Voting. A regent who declares or has been found to have a conflict of interest shall be absent from any deliberations or vote on the matter determined to be a conflict, and the regent shall not take any action to influence the outcome of the matter.



REGENT CANDIDATE ADVISORY COUNCIL

STATEMENT OF DIVERSITY

The recommendations of the Regent Candidate Advisory Council to the legislature for positions on the Board of Regents shall reflect diversity in terms of geography, gender, race, occupation, and experience.