



## REGENT CANDIDATE ADVISORY COUNCIL

72 State Office Building  
St. Paul, MN 55155

(651) 296-9002  
(651) 297-3697 (fax)

Web site: [www.rcac.leg.mn](http://www.rcac.leg.mn)

Dear Applicant:

Thank you for your interest in the University of Minnesota Board of Regents. The Board of Regents oversees administration of the University of Minnesota education system that serves approximately 65,000 students annually on five campuses. Four of the twelve Regent seats are open for election every two years. The four seats open in 2015 are one in each the first, fourth, sixth and seventh congressional districts.

The Regent Candidate Advisory Council (RCAC) is a 24-member council that recruits, screens and recommends candidates for the University of Minnesota Board of Regents. The purpose of the Council's broadly based effort is to recommend to the Legislature a group of diverse, skilled, committed, and experienced individuals to serve as regents. From the pool of applicants, the Council will invite a number of candidates for public interviews in early January, 2015, and then will submit to a Joint Legislative Committee the names of two to four candidates for each open Regent position. Once the Joint Committee approves the slate, its recommendations will be presented to a Joint Convention of the Legislature. The Joint Convention then will elect regents to fill the vacancies.

For your information, we have prepared the following materials and application form. ***You must complete the application form to be considered.*** Enclosed you will find the following:

- Application
- Recruitment Schedule
- Selection Criteria for University Regents
- Responsibilities of the Board and Individual Regents
- Code of Ethics for Members of the Board of Regents
- RCAC Statement on Diversity

**Signed and completed applications must be received by the RCAC by Monday, December 1, 2014.** Completed applications may be sent by e-mail to [lcc@lcc.leg.mn](mailto:lcc@lcc.leg.mn), by fax to 651-297-3697, by mail or delivered in person.

If you have any questions, please contact Sally Olson at 651-296-9002 or visit the RCAC website at: [www.rcac.leg.mn](http://www.rcac.leg.mn).

Sincerely,

Ardell Brede,  
RCAC Chair

# Regent Candidate Advisory Council

## APPLICATION FOR THE UNIVERSITY OF MINNESOTA BOARD OF REGENTS

This application is available on the council's Website: [www.rcac.leg.mn](http://www.rcac.leg.mn)  
Applications must be received by Monday, December 1, 2014.

Under the Minnesota Government Data Practices Act (Minnesota Statutes, section 13.601) parts of this application are public information: name, city of residence, education and training, employment history, volunteer work, awards and honors, prior government service, and veteran status.

The Government Data Practices Act also provides that some of the information on this form is private data. The Council is collecting this private data to assist it in making recommendations for membership on the Board of Regents. You are not required to provide private data, but the lack of this data may affect the ability of the Council to make a recommendation on your application.

Answers to the essay questions are private data, unless you agree to make them public by checking the box on page four. The written information you provide about references also is private data. Although the answers to the essay questions and the parts of this application containing information about references is private data, the law does not allow the Council to close a meeting to discuss this information. If the Council needs to discuss this information at a public meeting, it will attempt to take reasonable steps to protect the privacy of the information.

If you are elected to the Board of Regents, the following additional items on this application will become public: residential address, and either a telephone number or electronic mail address (or both if you request).

### Position Sought

There are four open positions on the Board of Regents; one each from Minnesota's 1st, 4th, 6th and 7th Congressional Districts. Please check the regent position for which you are applying.

- 1<sup>st</sup> U.S. Congressional District (one position)
- 4<sup>th</sup> U.S. Congressional District (one position)
- 6<sup>th</sup> U.S. Congressional District (one position)
- 7<sup>th</sup> U.S. Congressional District (one position)

Find your district by using the Poll Finder at: <http://pollfinder.sos.state.mn.us/>

### Personal Information

Name: \_\_\_\_\_  
First Last Middle/Maiden-Optional

Address: \_\_\_\_\_  
Street Address Apartment/Unit #

City State Zip Code Congressional District

\* Phone and e-mail contact information are private data and are made public now only with the consent of the applicant. If you are elected to the board, a phone number or email address where you can be contacted will be public data. Checking the boxes below allows release of that information now.

\* Phone Number: \_\_\_\_\_ I agree to make this number public now.

\* E-mail Address: \_\_\_\_\_ I agree to make this address public now.

**Employment History**

Past occupation or experience (voluntary or paid), including dates and person to whom you reported. Please limit to last three positions and list most current information first.

Employer: \_\_\_\_\_ Voluntary or Paid: \_\_\_\_\_

Address: \_\_\_\_\_

Position: \_\_\_\_\_

From (Month/Year): \_\_\_\_\_ To (Month/Year): \_\_\_\_\_

Supervisor: \_\_\_\_\_ Phone: \_\_\_\_\_

\_\_\_\_\_

Employer: \_\_\_\_\_ Voluntary or Paid: \_\_\_\_\_

Address: \_\_\_\_\_

Position: \_\_\_\_\_

From (Month/Year): \_\_\_\_\_ To (Month/Year): \_\_\_\_\_

Supervisor: \_\_\_\_\_ Phone: \_\_\_\_\_

\_\_\_\_\_

Employer: \_\_\_\_\_ Voluntary or Paid: \_\_\_\_\_

Address: \_\_\_\_\_

Position: \_\_\_\_\_

From (Month/Year): \_\_\_\_\_ To (Month/Year): \_\_\_\_\_

Supervisor: \_\_\_\_\_ Phone: \_\_\_\_\_

**Governing Board Experience**

Such as government, business, education, church, charities, non-profits, etc. Please limit to last four positions and list most current information first.

Organization: \_\_\_\_\_

Position: \_\_\_\_\_

From (Month/Year): \_\_\_\_\_ To (Month/Year): \_\_\_\_\_

Chair(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

Executive Officer(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

**Governing Board Experience (continued)**

Organization: \_\_\_\_\_

Position: \_\_\_\_\_

From (Month/Year): \_\_\_\_\_ To (Month/Year): \_\_\_\_\_

Chair(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

Executive Officer(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

Organization: \_\_\_\_\_

Position: \_\_\_\_\_

From (Month/Year): \_\_\_\_\_ To (Month/Year): \_\_\_\_\_

Chair(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

Executive Officer(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

Organization: \_\_\_\_\_

Position: \_\_\_\_\_

From (Month/Year): \_\_\_\_\_ To (Month/Year): \_\_\_\_\_

Chair(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

Executive Officer(s) during service: \_\_\_\_\_ Phone: \_\_\_\_\_

**Education**

High School: \_\_\_\_\_ Location: \_\_\_\_\_

Major Area of Study: \_\_\_\_\_ Degree: \_\_\_\_\_

College/Post-Secondary: \_\_\_\_\_ Location: \_\_\_\_\_

Major Area of Study: \_\_\_\_\_ Degree: \_\_\_\_\_

College/Post-Secondary: \_\_\_\_\_ Location: \_\_\_\_\_

Major Area of Study: \_\_\_\_\_ Degree: \_\_\_\_\_

College/Post-Secondary: \_\_\_\_\_ Location: \_\_\_\_\_

Major Area of Study: \_\_\_\_\_ Degree: \_\_\_\_\_

## References

This information is private. It will be used by council members for purposes of contacting references. (The Council may also talk to others, including supervisors and board colleagues, about your qualifications). Although the information on this section of the form is private, the Council may discuss reference information at a public meeting. If it discusses reference data at a public meeting, the Council will attempt to take reasonable steps to protect the privacy of the information.

Full Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Organization: \_\_\_\_\_ Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

Full Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Organization: \_\_\_\_\_ Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

Full Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Organization: \_\_\_\_\_ Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

Full Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Organization: \_\_\_\_\_ Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

## Essay Questions

Answers to essay questions remain private unless the applicant waives this right. Checking the box below allows release of this information.

\* Check to permit public release of answers to essay questions

Please answer the following questions, using no more than two additional pages:

1. What has been your most important work or volunteer achievement? Please describe it briefly and indicate why it was important.
2. How do you characterize your style in group decision making? Give a specific example(s).
3. Having read the description of regents selection criteria and responsibilities, please describe how your experience and qualifications would enable you to be a good regent.
4. What are the most important issues confronting the University of Minnesota and how would you contribute to solving them?
5. Considering the [Code of Ethics for Members of the Board of Regents](#), do you have any personal or professional interests that may come before the Board? What should a board member do when the possibility of a conflict of interest arises, with respect to yourself or a fellow board member?
6. What strategies and policies would you propose as a board member to broaden diversity of students and staff on University of Minnesota campuses?
7. Regents have indicated that service on the board reasonably requires a commitment of at least 40 hours per month. The term of a regent is six years. The Board of Regents meets for two days each month. In addition to preparation for their meetings, there are numerous other University activities that a regent may be called on to attend or elect to attend. Are you prepared to make such a commitment? Can you think of any circumstances that might prevent you from serving for the full duration of your term?

## Signature and Submittal Instructions

I certify that all information in this application is factually correct, and do hereby consent to my nomination. By signing below, permission is granted to obtain information from all organizations and individuals mentioned in this application. Candidates selected to be interviewed will be contacted after the council meeting on December 12, 2014. Interviews will be held January 5 - 9, 2015.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Completed applications may be sent by e-mail to [lcc@lcc.leg.mn](mailto:lcc@lcc.leg.mn), by fax to 651-297-3697, or by mail to the address listed below.

Regent Candidate Advisory Council  
72 State Office Building  
100 Rev. Dr. Martin Luther King Jr., Blvd.  
St. Paul, MN 55155

*Note: Please do not submit written endorsements, letters of recommendation, supporting documentation or additional material unless requested. Materials will not be forwarded to the council.*



## **REGENT CANDIDATE ADVISORY COUNCIL**

### **STATEMENT OF DIVERSITY**

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



UNIVERSITY OF MINNESOTA

# BOARD OF REGENTS POLICY

Page 1 of 4

Board Operations

## CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

Adopted: February 9, 1996

Amended: May 12, 2006; February 10, 2012

Supersedes: (see end of policy)

## CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS

This policy governs the activities of members of the Board of Regents (Board) of the University of Minnesota (University) regarding financial disclosure, gifts, expense reimbursement, and conflicts of interest.

### **SECTION I. GUIDING PRINCIPLES.**

The following principles shall guide the accountability of Regents:

**Subd. 1. Public Trust.** The Board is responsible for the governance of the University. In carrying out this constitutionally conferred public trust, Regents must be accountable in the areas of financial disclosure, gifts, expenses, and conflicts of interest, and shall not use the authority, title, or prestige of their office to solicit or otherwise obtain private financial, social, or political benefit that in any manner is inconsistent with the public interest. In serving the people of Minnesota, Regents shall adhere to the highest ethical standards.

**Subd. 2. Paramount Interest.** Regents bring to their task varied backgrounds and expertise, but they are expected to put aside parochial interests, keeping the welfare of the entire University, not just a particular constituency, at all times paramount.

**Subd. 3. Time Commitment.** In undertaking the duties of the office, Regents shall make the necessary commitment of time and diligence to fulfill their public governance responsibilities.

### **SECTION II. FINANCIAL DISCLOSURE REQUIREMENTS.**

Upon election to office and annually on March 31 thereafter, Regents shall file a financial disclosure statement with the executive director/secretary of the Board 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 III. GIFTS.**

No Regent shall accept any gift or accommodation, except as permitted by Board policy. This prohibition does not apply to complimentary tickets to University events furnished in accordance with guidelines on file in the Board Office.

### **SECTION IV. EXPENSES.**

Regents serve without compensation, but they are entitled to reimbursement for expenses incurred while representing the University in an official capacity in accordance with guidelines on file in the Board Office.





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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

Amended: May 12, 2006; February 10, 2012

Supersedes: (see end of policy)

### SECTION V. DEFINITIONS.

**Subd. 1. Recusal.** Recusal shall mean noninvolvement of a Regent in any discussion of, and decision regarding, the relevant matter to ensure that the Regent's independence of judgment is not compromised, that the public's confidence in the integrity of the Board is preserved, and that the University's public mission is protected.

**Subd. 2. Financial Conflict of Interest.** A *financial conflict of interest* exists whenever a Regent, a Regent's family member, and/or a business associated with a Regent or a Regent's family member has an actual or potential financial interest or any other interest in a matter pending before the Board that may impair independence of judgment or objectivity in the discharge of the Regent's public governance responsibilities.

**Subd. 3. Family Member.** *Family member* shall mean a spouse, parent, sibling, child, domestic partner, or any person residing in the Regent's household.

**Subd. 4. Business Associated with a Regent.** *Business associated with a Regent* shall mean an organization, corporation, partnership, proprietorship, or other entity if either the Regent or a member of the Regent's family:

- (a) receives compensation in excess of \$500 in any month or has any contractual right to future income in excess of \$6,000 per year;
- (b) serves as an officer, director, partner, or employee; or
- (c) holds a financial interest valued in excess of \$10,000.

For purposes of this policy, compensation shall not include reimbursement for expenses under Section IV above, any non-employment related funds from a governmental source, investment or savings income, retirement or insurance benefits, or alimony.

**Subd. 5. Financial Interest.** *Financial interest* shall mean a foreseeable, nontrivial financial effect that may result from Board action.

**Subd. 6. Employment-Related Conflict of Interest.** An *employment-related conflict of interest* exists whenever a Regent's employment relationships may impair independence of judgment.

### SECTION VI. FINANCIAL AND EMPLOYMENT-RELATED CONFLICT OF INTEREST PROCEDURES.

**Subd. 1. Interpretation and Application.** The conflict of interest provisions of this policy shall be interpreted and applied to best serve the interests of the University. In some cases, full disclosure and consideration of the particular facts may indicate that a potential conflict of interest is insubstantial so that the University's interests are best served by the Regent's participation. If doubt remains regarding the need for recusal, the Regent involved must elect recusal. Recusal on a particular matter because of a



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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

Amended: May 12, 2006; February 10, 2012

Supersedes: (see end of policy)

conflict does not reflect adversely on the Regent involved; rather, it simply recognizes that in a complex and interconnected society conflicts cannot be entirely avoided and will occur.

#### **Subd. 2. Disclosure or Acknowledgment of Actual or Potential Conflicts.**

Actual or potential conflicts of interest shall be brought to the attention of the chair of the Board at the earliest opportunity. Such actual or potential conflicts may be reported by an individual Regent or by any other person. Disclosure or acknowledgment of such a conflict of interest and recusal shall be noted appropriately in Board minutes.

**Subd. 3. Consultation with General Counsel.** A Regent with a conflict of interest question is encouraged to consult with the general counsel who, if requested, shall 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 also may request an opinion from the general counsel on any conflict of interest question.

**Subd. 4. Disputed Conflicts of Interest.** Any disputed issues relating to the existence of a conflict of interest requiring recusal shall be decided by the chair, who may choose to 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 dispute, another Regent shall be appointed by the ranking Regent. The chair (or the ad hoc group if appointed) shall determine whether there is a conflict of interest and report the decision to the Board; however, in all cases the Board is the final authority on conflict questions.

**Subd. 5. Deliberations and Voting.** Regents who declare or have been found to have an actual or potential financial or employment-related conflict of interest shall recuse themselves regarding the matter determined to be a conflict and shall not take any action to influence the outcome of the matter.

### **SECTION VII. CANDIDACY FOR PUBLIC OFFICE.**

A Regent shall resign from the Board upon officially announcing candidacy for any partisan elective public office.

### **SECTION VIII. UNIVERSITY EMPLOYMENT.**

Notwithstanding any other provision of this policy, a Regent shall not serve as a compensated University employee, except that the Regent elected to hold the seat designated for a student may engage in student employment at the University.

### **SECTION IX. ANNUAL REVIEW OF POLICY.**

At the beginning of each fiscal year, the Board, with the assistance of the general counsel, shall publicly review the requirements and procedures of this policy.



**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

**Amended:** May 12, 2006; February 10, 2012

**Supersedes:** (see end of policy)

**SUPERSEDES:** Code of Ethics for Members of the Board of Regents dated October 12, 1973.



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.

**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.



**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

- (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.
- (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.