MEMORANDUM

To: Board of Regents

From: Board Office

Subject: Revisions to Board of Regents Policy Manual

Date: April 12, 2004

Recommended Actions:


Approve as a first reading, revisions to the following sections of the Board of Regents Policy Manual:

- §7.08B5: Reference to audit report activity revised to coincide with the revised Board meeting schedule
- §6.29: Revised definition of “distance education”

Executive Summary:

The Board Office and Regent institutions have been in the process of reviewing and proposing editorial changes to the Board of Regents Policy Manual for more than a year. At its meeting in February, 2004, the Board of Regents approved its Strategic Plan for 2004-2009. The Policy Manual needs to be revised to incorporate this new strategic plan.

In October, 2003, the Board of Regents approved a revised schedule of meetings. As a result of this revised schedule, a Policy Manual reference to audit activity reporting needs to be revised to coincide with the meeting schedule.

The definition of “distance education” needs to be changed so that it more accurately reflects distance education enrollment.

Background:

Policy Manual being revised

For the past year a major effort has been underway to update the Board of Regents Policy Manual (formerly known as the Procedural Guide). At the time the decision was made to undertake this project, that decision was consistent with the Board of Regents Strategic Plan for 1998 – 2003 and the Key Result Areas of quality and accountability.
<table>
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<tr>
<th>Analysis:</th>
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<tr>
<td><strong>Policy Manual contains the Board’s strategic plan</strong></td>
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<td>As a key document used to describe the Board of Regents policies and practices, it is critical that the Policy Manual contain information that is accurate. The Board of Regents Policy Manual currently contains the Board’s Strategic Plan for 1998-2003. That strategic plan is no longer in effect. The Policy Manual amendment being proposed amends §1.02 to delete all reference to the former strategic plan (for 1998-2003) and replace it with the recently-adopted strategic plan for 2004-2009. In addition, §1.02 would be amended to include the revised mission, values, and culture statements for the Board of Regents, since these were also updated during the strategic planning process. The vision and responsibilities statements for the Board remained unchanged during the strategic planning process and will remain unchanged in the Policy Manual.</td>
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<td><strong>Strategic Plan for 2004-2009 needs to be included</strong></td>
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<td>This proposal for inclusion of the new strategic plan in the Policy Manual was presented to the Board last month for first reading. It is being presented this month for final approval.</td>
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<td><strong>Presented for final approval this month</strong></td>
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<td>Attachment 1 shows the current version of §1.02 and the proposed revisions. Attachment 2 shows what §1.02 would look like if the Board of Regents adopted the proposed revisions.</td>
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<tr>
<td><strong>Definition of distance education</strong></td>
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<td>The existing definition of distance education in §6.29 of the Policy Manual refers only to off-campus instruction that occurs when the students and the instructor are not together in the same location. It does not include off-campus instruction that occurs face-to-face. Many programs, especially at the masters level, are offered to cohorts at various sites throughout the state where the instructor is present with the students. However, the existing definition does not allow the enrollment for these offerings to be counted under the category of distance education. The revised definition will allow the institutions to count all off-campus credit enrollments, regardless of the delivery system used, thereby resulting in a more accurate distance education enrollment picture.</td>
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<tr>
<td><strong>Revised to count all off-campus credit enrollments.</strong></td>
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<tr>
<td>Attachment 3 reflects the reference to this definition as it currently appears in §6.29 of the Policy Manual. Attachment 4 reflects the reference as it would appear in the corrected version. This revision is being presented for first reading this month.</td>
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</table>
At its meeting in October, 2003, the Board of Regent adopted a revised calendar that reflected when it would hold its meetings during the remainder of 2003 and all of 2004. As a result of the Board adopting a revised meeting calendar, it is necessary to revise Policy Manual references to accurately coincide with this revised calendar. Currently §7.08 of the Policy Manual (“Audit Activity”) indicates that “A comprehensive report on the internal audit function will be made to the Board through the Banking Committee in July of each year.” Since the revised meeting calendar no longer includes a Board meeting during the month of July, this reference to “July” will be changed to “annually.”

Attachment 5 reflects the reference to this report as it currently appears in the Policy Manual. Attachment 6 reflects the reference as it would appear in the corrected version. Note that this revision is being presented for first reading this month.

Elaine S. Newell
Approved: Gregory S. Nichols

H:hr/Docket 2004/AprGD12

A. Mission Statement

The Board of Regents, State of Iowa, will be an exemplary model of governance and stewardship of resources of Regent institutions. The Board establishes, coordinates and advances the individual mission and vision of each Regent institution and strives to meet the educational needs of Iowans in concert with Iowa’s other educational institutions. The Board has the responsibility for assuring effective relations with the various external constituencies of the Board of Regents, and the long term development of the capacity of the Regent institutions to achieve their missions. The Board challenges its institutions to become the best enterprise of public education in the United States through the unique teaching, research and outreach programs established for each university and school.

Serving the People of Iowa, the Board of Regents

- Governs and coordinates the activities of Iowa’s three public universities and two special schools;
- Advocates for and exercises responsible stewardship of resources;
- Engages capable presidents and superintendents to ensure that the institutions apply knowledge to benefit Iowans;

Communicates the positive impact and value of the Regent institutions to the state, its citizens and society.

The Board expects the Regent institutions, in accordance with their respective missions, to

- Provide a high-quality accessible education to all students in concert with Iowa’s other educational entities;
- Engage in high-quality research, scholarship, and creative activities to enhance the quality of life for Iowans and society in general;
- Provide needed public services;
- Support economic development in partnership with public and private sectors.

B. Responsibilities Statement

Statutory Expectation

The Board of Regents, State of Iowa, was created in 1909 to perform two functions: govern and coordinate the functions of the state institutions under its jurisdiction. Iowa Code Chapter 262 authorizes the Board to “have and exercise all powers necessary and convenient for the effective administration of its office
and of the institutions under its control . . .” The Board oversees the State University of Iowa, Iowa State University of Science and Technology, University of Northern Iowa, Iowa School for the Deaf, and Iowa Braille and Sight Saving School as the governing board responsible for the overall operation of the five institutions.

Operational Stewardship

The Board is responsible for the unique role of the Regent universities to provide stewardship for quality teaching, research, and service to the citizens of Iowa including undergraduate, graduate, and professional programs in a variety of fields. The Board also is responsible for ensuring quality programs for the deaf and visually impaired at the pre-collegiate level. In all areas of responsibility, the Board is responsible for appropriate and effective articulation with other sectors of postsecondary, secondary, and elementary education in the state. In addition, the Board’s responsibilities include ongoing coordination between and among the Regent institutions, and between the Regent institutions and other organizations and agencies responsible for related educational functions. Together with other boards and agencies responsible for aspects of education, such as the Department of Education and the Iowa College Aid Commission, the Board of Regents is responsible for interagency coordination and overall planning for postsecondary and special education in the state.

In its role as the Board of Trustees for the University of Iowa Hospitals and Clinics (UIHC), the Board is responsible for reviewing periodic reports on planning, programs, operation, and finance, and for governing the UIHC. As provided in the Bylaws approved for the UIHC, the Chief Executive Officer of the UIHC shall submit through the President of the University reports to the Board of Regents in its capacity as the Board of Trustees for the UIHC at least quarterly.

C. Vision Statement

The Board of Regents, State of Iowa, expects its enterprise of public education to become the best in the United States.

The Board of Regents will be seen as the nation’s higher education leader in developing the best-educated state in the nation, in creating new knowledge that demonstrably improves the quality of life for Iowans, and in employing the resources of the Regent institutions to serve the needs of Iowa and the world.

D. Values Statement

The values nurtured by the Board of Regents flow from the trust bestowed by the people of Iowa and the Board’s educational mission. The Board values learning, knowledge, access, and public service. The Board values academic freedom, and in every endeavor upholds the value of uncompromised integrity, conforming to the highest standards of ethics, honesty, trust, fairness, civility and compassion.

The Board values its linkages with the Regent institutions and the synergies gained from communication links among the institutions themselves.
The Board values quality and pursuit of excellence in a diverse educational community. The Board embraces the value of dedication to educational and public service of the highest standard. The Board values stewardship, accountability, and strategic planning in all activities of the Board and the Regent institutions.

The Board of Regents, State of Iowa, is committed to:

- intellectual development and creativity;
- academic freedom
- academic quality and access
- civility
- honesty, integrity, and fairness
- ethical behavior
- collaboration
- continuous improvement
- diversity among faculty, staff, and students
- open, effective communication
- public accountability, stewardship and service

E. Culture Statement

Governance through Delegation

The overall authority to govern the Regent institutions is fully vested in the Board of Regents. The Board delegates appropriate authority to the institutional heads (e.g., the university presidents and the special school superintendents). Institutional governance structures are developed, with Regent oversight of operations and management. Effective management practices marked by continuous self-examination and improvement are intrinsic to the Board’s operational culture.

Nurturing Environment

The Board of Regents is committed to a nurturing environment for the recruitment (where appropriate) and retention of high-quality, diverse faculty, staff, and students. The Board believes that individual and collective accomplishments are enhanced by an environment characterized by collaboration of expertise, and cultivation of common as well as unique and individual interests.

Academic Freedom

The Board of Regents is committed to academic freedom as an integral part of an environment fostering excellence. The Board seeks an environment of critical thinking, free inquiry and open communication marked by academic freedom, and opportunities for educational endeavors enriched by the presence and active participation of people from diverse backgrounds and cultures.
Effective Service

At the core of the Board’s culture resides the commitment to effective and responsive service to appropriately meet the needs of the people of Iowa, the nation, and the world. The Board will proactively communicate to the state’s constituencies and the public its efforts toward this service.

The Board of Regents, State of Iowa, and its institutions nurture cultures, consistent with their values, that are characterized by the following:

- A passion for learning that enables individuals to achieve their full potential and enhances quality of life
- Academic freedom that stimulates creativity, inquiry, and the advancement of knowledge
- Leadership in demonstrating the highest levels of integrity, honesty, ethics, and civil discourse in all activities
- Collaboration and coordination across the Regent enterprise and with other institutions and organizations, both public and private, to meet the needs of Iowans
- A commitment to Iowans, our students, and our employees to seek continuous improvement in applying knowledge, using resources, and responding to needs and opportunities
- Respectful interaction among members of diverse backgrounds, cultures, and beliefs in nurturing environments that promote critical thinking, free inquiry, open communication, and broad participation
- Effective communications that inform citizens of the roles, value and impact of the Board and its institutions
- Governance that demonstrates effective, accountable service to the public through strategic planning, hiring of and delegation to presidents and superintendents, responsible oversight, and effective stewardship of resources

F. Key Result Areas  Board of Regents Strategic Plan for 2004-2009

Key Result Area 1.0.0.0

Become the best public education enterprise in the United States.

Key Result Area 2.0.0.0

Provide access to educational, research and service opportunities within the missions of the Regent institutions.

Key Result Area 3.0.0.0

Establish policies to encourage continuous improvement of the climate for diversity, and ensure equal educational and employment opportunities.
Key Result Area 4.0.0.0

Meet the objectives of the Board and institutional strategic plans, and provide effective stewardship of the institutions’ state, federal and private resources.

The Board of Regents, State of Iowa, and its institutions serve Iowa, its citizens, and the world by being a recognized leader in these four priorities:

1. Ensure high-quality educational opportunities for students.
2. Discover new knowledge through research, scholarship, and creative activities.
3. Provide needed service and promote economic growth.
4. Demonstrate public accountability and effective stewardship of resources.

The Board of Regents has identified four sets of objectives that set its course for accomplishing the four priorities. The Board has also defined strategies for meeting these objectives. The success of the plan will be measured by progress in performance indicators or completion of appropriate action steps for each strategy.

1.0. Educational Opportunities

The Board expects the Regent institutions, in accordance with their respective missions, to:

1.1. Offer high-quality programs through ongoing program improvement for undergraduate, graduate, professional, and non-degree students and special school students.

1.2. Facilitate student access and transitions to the Regent universities.

1.3. Provide educational experiences that enhance the knowledge, abilities, opportunities, and personal incomes of individual Iowans through educational attainment.

2.0. Research and Scholarship

The Board expects the Regent institutions, in accordance with their respective missions, to:

2.1. Support and increase research, scholarship, and creative activities at the Regent institutions to serve the needs of Iowa and its citizens.

2.2. Create and pursue opportunities to widely disseminate knowledge to other sectors to enhance applications, including those that stimulate economic growth in Iowa.
3.0. Service and Economic Growth

The Board expects the Regent institutions, in accordance with their respective missions, to:

3.1. Attract investment to Iowa and grow a variety of business opportunities in the state by building on research strengths and increasing technology transfer to commercial and nonprofit entities.

3.2. Improve the quality of life in Iowa through educational outreach programs, exceptional and accessible health care, cultural and recreational opportunities, and other valued public services in response to the needs of Iowans.

4.0. Public Accountability

Serving the people of Iowa, the Board of Regents and its institutions will:

4.1. Utilize management and oversight systems that regularly measure achievements in Board and institution strategic priorities, while pursuing continuous quality improvement in programs and services.

4.2. Maximize benefits to Iowans and other citizens by determining and fulfilling appropriate resource needs for education, research and scholarship, service activities, and economic development efforts.

4.3. Expand opportunities for individuals by strengthening Iowa’s educational system through collaboration with other education sectors.

4.4. Ensure compliance with Board policies and legal mandates through responsible oversight of operations.

4.5. Serve as an active and enthusiastic advocate and communicator for the Regent institutions, their students, and the citizens they serve by maintaining positive relationships with elected officials, other education sectors, the media and the public at large.
1.02 Strategic Plan for the Board of Regents (2004-2009)

A. Mission Statement

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6.29 Distance Education

A. Guidelines for Distance Education

... 

1. Definition: Distance education is defined, for the purposes of accreditation review, as a formal educational process in which the majority of the instruction occurs (1) when student and instructor are not in the same place, or (2) when face-to-face instruction is provided at off-campus locations, including when students and instructors are in the same place. Distance education may employ correspondence guided independent study, or audio, video, or computer technologies. Instruction may be synchronous or asynchronous.
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7.08 Audit Activity

B. Internal Audits

5. Responsibility. Each year, the internal audit staffs will develop and execute a comprehensive audit plan to be conducted in accordance with applicable professional auditing standards. A comprehensive report on the internal audit function will be made to the Board through the Banking Committee in July of each year annually.
7.08 Audit Activity

B. Internal Audits

5. Responsibility. Each year, the internal audit staffs will develop and execute a comprehensive audit plan to be conducted in accordance with applicable professional auditing standards. A comprehensive report on the internal audit function will be made to the Board through the Banking Committee annually.
Board approved revisions of sections of the Policy Manual

- Chapter II. Meetings and Chapter IV: Personnel, in March 2002.
- Chapter IV. Personnel -- §4.04: Appointment of Presidents, Superintendents, and Executive Director and §4.11: Employment and Supervision of Immediate Family Members, in April 2002.
- Chapter III. Board Office, in April 2002.
- Chapter VI. Academic Policies and Procedures (with the exception of §§6.03 and 6.04), in April 2002.
- Chapter I. Board of Regents, in May 2002.
- Chapter VIII. Charges and Fees, in May 2002.
- Chapter I. Board of Regents -- §1.07(A)(2)(b) (amended to include a community college president as a representative on the Committee on Educational Coordination), in June 2002.
- Chapter I. Board of Regents -- § 1.03: Report of Special Schools Advisory Committees; §1.04, subsections C and E; and §1.06I: Regent Advisory Committees on Iowa School for the Deaf and Iowa Braille and Sight Saving School, in April 2003.
- Chapter I. Board of Regents -- §1.03: Governance, subsection E: Governance Reports – Banking Committee, in May 2003.
- Chapter I. Board of Regents -- §1.05: Board of Regents Committee, in May 2003.
- Chapter VII. Business Procedures -- §7.02: General Policies, A. Budgets, 6. Reallocation, in October 2003.
• Chapter I. Board of Regents - §1.06E: Economic Development and Technology Transfer, in October 2003.
• Chapter III. Board Office -- §3.03: Responsibilities of the Executive Director and Board Office, emeritus status for Board Office staff, in November 2003.
• Chapter V. Equal Opportunity -- §5.06: Affirmative Action Committee, in December 2003.
• Chapter I. Board of Regents -- §1.09, Affiliated Organizations, in January 2004.
• Chapter VIII Fees and Charges -- §8.06A, Residence system reporting, in January, 2004
• Chapter I Board of Regents -- §1.03E, Governance Reports, in February 2004