

MEMORANDUM

To: Board of Regents
From: Board Office
Subject: Revisions to the Board of Regents Policy Manual
Date: September 1, 2004

Recommended Actions:

1. Give final approval to revisions to the following sections of the Board of Regents Policy Manual:
 - §4.03A Professional and Scientific Classification System
 - §4.35 Phased and Early Retirement
 - §1.03 Governance
-

Executive Summary:

Final Approval Three sections of the Board of Regents Policy Manual are presented for the Board's approval.

- §4.03A – Professional and Scientific Classification Systems (**Attachment A**)
 - §4.35 – Phased and Early Retirement Programs (**Attachment B**)
 - §1.03 – Governance (**Attachment C**)
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Asset Allocation Guidelines The Board's Investment Committee is expected to recommend to the Board approval of an immediate revision to Chapter 7.03, Section F, Subsection 5 Asset Allocation Guidelines. Action on this revision will be presented as part of Agenda Item 10.

Background and Analysis:

Standard revision process takes two Board meetings Changes are proposed to the Policy Manual as a result of editorial review and Regent comments. The traditional revision process for substantive revisions involves initial review and comment by the institution and the Board (the "first reading") and then providing final Board approval for publication at a subsequent Board meeting.

Revisions to the Policy Manual that have been approved by the Board to date are listed in **Attachment D**.

Final approval

Three policies are being presented for final approval this month:

P&S Classification Systems

A revision is proposed to section 4.03A of the Policy Manual in response to a recent suggestion made by the Board of Regents. This revision would eliminate the requirement that changes to institutional professional and scientific classification systems be approved by the Board of Regents prior to taking effect. Rather than being docketed for Board approval, proposed revisions to the P & S classification system will be submitted to the Board office for review and approval by the Executive Director.

Attachment A reflects the current policy with the proposed revision, and also shows how the policy would appear if the revision is approved.

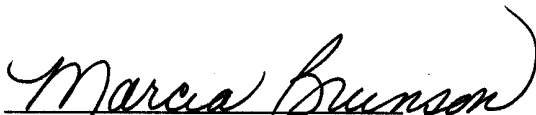
Phased retirement policy

It has come to the attention of Board Office staff that there is an editorial error in section 4.35 of the Policy Manual that has gone unnoticed for some time. As currently written, the section provides conflicting information. Incorporating the proposed revision into section 4.35 will ensure that it accurately informs employees about the terms of the phased retirement policy.


Attachment B reflects the current policy with the proposed revision, and also shows how the policy would appear if the revision is approved.

Governance

The Board first reviewed the revision §1.03 relating to Governance at the August 24, 2004, meeting. Additional changes were discussed at that meeting. The revisions shown in **Attachment C** include those changes.



Marcia R. Brunson

Approved: 

Gregory S. Nichols

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PROPOSED REVISION:

PRESENTED FOR APPROVAL

IV. PERSONNEL

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4.03 Professional and Scientific

A. Classification System:

~~Proposed changes in Board approved classification system for Professional and Scientific staff which involve the assignment of new classes or position titles to pay grades, changes in the pay grade assignment of classes or position titles, and the deletion or addition of classes or position titles shall be docketed by the institutions for Board approval prior to implementation. Revisions in class or position title descriptions that do not affect pay grade assignments shall not require Board approval.—~~

[See proposed revision below.]

POLICY AFTER REVISION:

PRESENTED FOR APPROVAL

IV. PERSONNEL

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4.03 Professional and Scientific

A. Classification System:

Proposed revisions to the institutional professional and scientific classification systems, including addition of new classifications, deletion of classifications and pay grade and title changes to existing classifications, shall be submitted to the Board Office for review and action. Submissions shall include the proposed description, rationale for the proposal and the methodology used to determine pay grade assignments in accordance with the state law on comparable worth. In order to facilitate the process, the Executive Director is authorized to approve such revisions.

PROPOSED REVISION:

PRESENTED FOR APPROVAL

IV. PERSONNEL

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4.35 Phased and Early Retirement

A. Phased Retirement Policy

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Schedule of Phasing: A staff member may reduce from full-time to no ~~more~~ less than a half-time appointment either directly or via a stepped schedule. At no time during the phasing period may an employee hold greater than a 65 percent appointment. The maximum phasing period will be five years with full retirement required at the end of the specified phasing period. Once phased retirement is initiated, employees may not return to full-time appointment.

POLICY AFTER REVISION:

PRESENTED FOR APPROVAL

IV. PERSONNEL

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PROPOSED REVISION:**PRESENTED FOR APPROVAL**

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I. BOARD OF REGENTS

. . .

1.03 Governance

The Board of Regents, State of Iowa, has broad statutory authority, as outlined in Iowa Code Chapter 262, to exercise all the powers necessary and convenient for the effective administration of its office and the institutions under its control. As provided by law, the Board both governs and coordinates the operations of the Regent institutions.

A. Statement on Governance

The Board of Regents, State of Iowa, by statute, governs Iowa's three state universities -- the State University of Iowa, Iowa State University, and the University of Northern Iowa -- and the Iowa School for the Deaf and the Iowa Braille and Sight Saving School. The Board, pursuant to this authority, establishes the missions, adopts strategic plans, makes educational policy, appoints presidents and other institutional officials, reviews and approves budgets for submission to the Governor and General Assembly, establishes and oversees annual operating budgets and personnel policies, ~~oversees the business operations of the institutions,~~ pursues public policy and budget priorities, reviews and approves academic programs, and adjudicates disputes. The staff of the Board, headed by the Executive Director, is located in Urbandale. Board staff provide ~~general assistance to~~ support for the Board, including review and analysis of all ~~institutional~~ budget and policy proposals, and preparation of recommendations to the Board.

B. ~~Legislative Liaison Activities~~ State Relations

~~Legislative liaison~~ State Relations activities of the ~~universities~~ Regent enterprise are organized under ~~the overall governance authority of~~ the Board of Regents. These activities are vital to the continued academic and fiscal well-being of the institutions and of public higher education in Iowa. Such activities involve complex questions of public policy, Regental responsibility, institutional objectives, and budgetary considerations. For these reasons it is important that the principles governing ~~institutional legislative activities~~ state relations particularly those conducted by the legislative liaison representatives, be carefully specified.

C. Legislative Liaison Function

Legislative liaison representatives are responsible for transmitting and explaining policies of the Board of Regents and information from the institutions to the General Assembly and other state officials. The legislative liaison representatives conduct their duties under the direction of the Board of Regents. Operating under the overall mandate from the Board of Regents, each liaison representative has special responsibilities to the university ~~by which the representative is employed~~ at which the individual is assigned. These latter responsibilities include explanation and communication of Board policies ~~specifically referring to that university~~; communication of information concerning the particular mission, programs, and strengths, needs, and goals of the institutions; and advocacy consistent with the accomplishment of ~~the institutional objectives approved by the Board's goals~~.

D. Operating Guidelines for the Legislative Liaison Function

1. Legislative liaison representatives are employees of the ~~individual universities and report to the presidents, sometimes through a vice president or other institutional official~~ Board, reporting directly to the Director, Public Affairs. The Director, Public Affairs will consult with the institution heads relating to the duties and responsibilities of the legislative liaisons. They serve in a line relationship through the presidents to the ~~Board of Regents~~. In cooperation with one another, ~~they~~ the legislative liaisons work with the General Assembly and other state officials to implement Board policy.
2. Only the Board of Regents, State of Iowa, can make legislative policy for the Regent institutions. ~~In furtherance of its policy setting responsibilities, the Board of Regents through the president shall provide overall direction to the legislative liaison representatives. In carrying out this responsibility, the Board will consult with the institution heads on policy setting responsibilities.~~
3. The development of legislative strategy is the responsibility of the Board and the Board president in ~~conjunction and consultation with the legislative liaison representatives~~, the Executive Director, Director, Public Affairs, and the institutional heads.
4. ~~The legislative liaison representatives~~ Director, Public Affairs shall be responsible for the daily operation of the Regents' legislative activities and ~~The institutional heads and the legislative liaisons shall work closely with the legislative liaisons through the Executive Director to coordinate those daily activities effectively.~~ The representatives are the Regents' primary contact with the legislators and are authorized to communicate as needed with members of the General Assembly, representatives of state agencies, and others with respect to tactical and operational detail.

5. Because of the inherent complexity of the legislative liaison function and the possibility of misunderstanding, it is essential that open lines of communication be developed and maintained. To that end and to avoid the evolution of institutional initiatives inconsistent with Board policy, regular conferences should be held. Participants ~~should~~ shall include only the Board president, the Executive Director, the Director, Public Affairs, the institutional heads, other Regents and others as determined by the Board president, and the legislative liaison representatives. ~~The bulk of these conferences will be held during the legislative session. Other Regents, Board Office staff, and institutional representatives will be active participants in many of these discussions.~~
6. ~~Coordination among the institutions is essential. Such coordination will be enhanced by frequent communication as noted earlier.~~ The institutions acknowledge the preeminence of the Board's policy-making authority and its responsibility for institutional governance. As plans for legislative and other initiatives are developed by the Board, the institutions institutional leadership will have the opportunity to represent their ~~own positions~~ thoughts and to attempt to influence the Board's decisions. However, when the Board has adopted a legislative policy or strategy, ~~the institutions will accept~~ institutional leadership will support this policy or strategy and work as requested to represent it to legislative and other officials ~~in Des Moines~~.
7. The Executive Director, the Director, Public Affairs and other Board Office staff will provide analysis, staff support, and coordination of legislative activities. As the staff of the Board of Regents, the Board Office has important responsibilities in assisting with the implementation of Board policies.
8. In summary, operation of legislative liaison activities is characterized by recognition of the authority of the Board of Regents, State of Iowa, and its established policies and directions; recognition of the individual and complementary missions of the institutions; communication among the Board, the Board Office, and the institutions; and frequent consultation.

POLICY AFTER REVISION:

PRESENTED FOR APPROVAL

I. BOARD OF REGENTS

. . .

1.03 Governance

The Board of Regents, State of Iowa, has broad statutory authority, as outlined in Iowa Code Chapter 262, to exercise all the powers necessary and convenient for the effective administration of its office and the institutions under its control. As provided by law, the Board both governs and coordinates the operations of the Regent institutions.

A. Statement on Governance

The Board of Regents, State of Iowa, by statute, governs Iowa's three state universities -- the State University of Iowa, Iowa State University, and the University of Northern Iowa -- and the Iowa School for the Deaf and the Iowa Braille and Sight Saving School. The Board, pursuant to this authority, establishes the missions, adopts strategic plans, makes educational policy, appoints presidents and other institutional officials, reviews and approves budgets for submission to the Governor and General Assembly, establishes and oversees annual operating budgets and personnel policies pursues public policy and budget priorities, reviews and approves academic programs, and adjudicates disputes. The staff of the Board, headed by the Executive Director, is located in Urbandale. Board staff provide support for the Board, including review and analysis of all budget and policy proposals, and preparation of recommendations to the Board.

B. State Relations

State Relations activities of Regent enterprise are organized under the Board of Regents. These activities are vital to the continued academic and fiscal well-being of the institutions and of public higher education in Iowa. Such activities involve complex questions of public policy, Regental responsibility, institutional objectives, and budgetary considerations. For these reasons it is important that the principles governing state relations particularly those conducted by the legislative liaison representatives, be carefully specified.

C. Legislative Liaison Function

Legislative liaison representatives are responsible for transmitting and explaining policies of the Board of Regents and information from the institutions to the General Assembly and other state officials. The legislative liaison representatives conduct their duties under the direction of the Board of Regents. Operating under the overall mandate from the Board of Regents, each liaison representative has special responsibilities to the university at which the individual is assigned. These latter responsibilities include explanation and communication of Board policies; communication of information concerning the particular mission, programs, and strengths of the institutions; and advocacy consistent with the accomplishment of the Board's goals.

D. Operating Guidelines for the Legislative Liaison Function

1. Legislative liaison representatives are employees of the Board, reporting directly to the Director, Public Affairs. The Director, Public Affairs will consult with the institution heads relating to the duties and responsibilities of the legislative liaisons. In cooperation with one another, the legislative liaisons work with the General Assembly and other state officials to implement Board policy.

Attachment C

2. Only the Board of Regents, State of Iowa, can make legislative policy for the Regent institutions. In carrying out this responsibility, the Board will consult with the institution heads on policy setting responsibilities.
3. The development of legislative strategy is the responsibility of the Board and the Board president in consultation with the Executive Director, Director, Public Affairs, and the institution heads.
4. The Director, Public Affairs shall be responsible for the daily operation of the Regents' legislative activities and shall work closely with the legislative liaisons to coordinate those daily activities effectively. The representatives are the Regents' primary contact with the legislators and are authorized to communicate as needed with members of the General Assembly, representatives of state agencies, and others with respect to tactical and operational detail.
5. Because of the inherent complexity of the legislative liaison function and the possibility of misunderstanding, it is essential that open lines of communication be developed and maintained. To that end and to avoid the evolution of institutional initiatives inconsistent with Board policy, regular conferences should be held. Participants shall include only the Board president, the Executive Director, the Director, Public Affairs, the institution heads, other Regents and others as determined by the Board president and the legislative liaison representatives.
6. The institutions acknowledge the preeminence of the Board's policy-making authority and its responsibility for institutional governance. As plans for legislative and other initiatives are developed by the Board, the institutional leadership will have the opportunity to represent their thoughts and to attempt to influence the Board's decisions. However, when the Board has adopted a legislative policy or strategy, institutional leadership will support this policy or strategy and work as requested to represent it to legislative and other officials.
7. The Executive Director, the Director, Public Affairs and other Board Office staff will provide analysis, staff support, and coordination of legislative activities. As the staff of the Board of Regents, the Board Office has important responsibilities in assisting with the implementation of Board policies.
8. In summary, operation of legislative liaison activities is characterized by recognition of the authority of the Board of Regents, State of Iowa, and its established policies and directions; recognition of the individual and complementary missions of the institutions; communication among the Board, the Board Office, and the institutions; and frequent consultation.

Board approved revisions of sections of the Policy Manual

- Chapter V. Equal Opportunity, in January 2002.
- 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 VI. Academic Policies and Procedures, §§6.03 and 6.04, in May 2002.
- Chapter VIII. Charges and Fees, in May 2002.
- Chapter IV. Personnel -- §4.37: Regent Employees Representing the Board of Regents and the Regent Enterprise, and §4.38: Regent Employees Serving on State Committees as Regent Employees, in June 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 VII. Business Procedures -- §7.04: Purchasing, in July 2002.
- Chapter IV. Personnel -- §4.39: Conflict of Interest of Public Officers and Employees – Gifts, §4.40: Conflict of Interest – Duty of Loyalty, and §4.41: Inclement Weather, in January 2003.
- Chapter VII. Business Procedures -- §7.01: Authority, §7.02: General Practices, §7.04: Financing, §7.06: Risk Management, §7.07: Compliance and Reporting, and §7.08: Audits, in January 2003.
- Chapter IX. Property and Facilities -- §9.03: Register of Capital Improvement Business Transactions, §9.04: Permission to Proceed with Project Planning, §9.05: Program Statement, §9.06: Project Descriptions and Budgets, §9.07: Consultant Agreements and Amendments, §9.08: Construction Contracts and Change Orders, §9.09: Acceptance of Completed Construction Contracts, and §9.10: Final Reports, in January 2003.
- 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 IV. Personnel -- §4.42: Interinstitutional Staff Sharing, in April 2003.
- Chapter VI. Academic Policies and Procedures -- §6.05: Academic Review and Program Approval and subsection 6.05B(3), in April 2003.
- Chapter IX. Property and Facilities -- §9.07: Consultant Agreements and Amendments, 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 -- §7.09: Printing, in July 2003.
- Chapter VII. Business Procedures -- §7.02: General Policies, A. Budgets, 6. Reallocation, in October 2003.

Attachment I

- 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 IV. Personnel -- §4.16: Holidays, in December 2003.
- Chapter IV. Personnel -- §4.31: Drug-Free Environment and Controlled Substances, Subsection C, in December 2003.
- Chapter VI. Academic Policies and Procedures -- §6.05: Academic Review and Program Approval, in December 2003.
- Chapter V. Equal Opportunity -- §5.06: Affirmative Action Committee, in December 2003.
- Chapter VII. Business Procedures -- §7.09: Printing, Subsection D-4, in December 2003.
- Chapter I. Board of Regents -- §1.09, Affiliated Organizations, in January 2004.
- Chapter VII Business Procedures -- §7.04B, Master lease drawdowns, in January, 2004.
- Chapter VII Business Procedures --§7.04C, Assistance in reporting, in January, 2004.
- Chapter VII Business Procedures -- §7.04I, Purchasing report, 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
- Chapter I Board of Regents -- §1.02, Strategic Plan, in April, 2004
- Chapter I Board of Regents -- §1.01C, Orientation of Board Members, in May, 2004
- .Chapter IV. Personnel -- §4.40: Conflict of Interest, in May, 2004.
- Chapter I Board of Regents -- §1.04, Board Officers, in May, 2004
- Chapter I Board of Regents -- §1.05, Board of Regents Committees, in May, 2004
- Chapter I Board of Regents -- §1.06, Interinstitutional Committees, in May, 2004
- Chapter I Board of Regents -- §1.07, Special Committees, in May, 2004
- Chapter VII Business Procedures – A number of non-substantive editorial corrections were implemented to ensure that the Policy Manual conformed to the revisions in the Board’s committee structure (e.g., “Banking Committee” references were removed or revised) in May, 2004
- Chapter I Board of Regents -- §1.05b, Board Committee responsibilities, in June, 2004
- Chapter I Board of Regents -- §1.05d, Standing Committees of the Board, in June, 2004
- Chapter VI. Academic Policies and Procedures -- §6.01: Admissions Requirements (application fees), in June, 2004.
- Chapter VI. Academic Policies and Procedures -- §6.20: Admission Requirements (Iowa Braille and Sight Saving School) Approval, in June, 2004.
- Chapter VII Business Procedures -- §7.05B.12, Definition of “movable equipment, in January, 2004.
- Chapter 1 Board of Regents -- §1.02 Strategic Plan, August 24, 2004.
- Chapter 3 Board Office -- §3.01 Board Office Statement of Mission, August 24, 2004.
- Chapter 3 Board Office -- §3.03 Responsibilities of the Executive Director and the Board Office, August 24, 2004.