

MEMORANDUM

To Board of Regents
From: Board Office
Subject: Revisions to Board of Regents Policy Manual
Date: February 5, 2004

Recommended Actions:

Approve for final reading and publication editorial changes to Board of Regents Policy Manual §1.03E: Governance Reports (Attachment 1).

Executive Summary:

<u>Policy Manual</u> under intensive review	The Board Office and Regent institutions have been in the process of reviewing the <u>Board of Regents Policy Manual (Policy Manual)</u> , formerly the <u>Procedural Guide</u> , for more than a year. The process has involved the Board reviewing proposed changes and additions at one meeting, commenting on the proposals, and allowing institutional comments to be incorporated prior to final approval for publication at a subsequent Board meeting.
Amended list of governance reports	Proposed changes in the governance reports to be received by the Board are identified in Attachment 1.

Strategic Plan:

Relates to quality, effectiveness, and efficiency	Revision of the <u>Policy Manual</u> is consistent with the Board of Regents current Strategic Plan, KRA 1.1.0.0, Quality. More specifically these proposals relate to KRA 4.0.0.0, Accountability, and particularly to Objective 4.2.0.0 – to improve the operational effectiveness and efficiency of the institutions.
FY 2004 – 2009 Strategic Plan	Four priorities for its 2004-2009 Strategic Plan were approved by the Board in July 2003. They are: #1 – quality education; #2 – discovery of new knowledge; #3 – needed service and promotion of economic growth; and #4 – public accountability. These proposed changes relate to public accountability for financial resources and acquiring and retaining quality staff to provide quality education.

Background:

Policy Manual
being revised

Previous revisions of the Policy Manual approved by the Board are catalogued in Attachment 4.

Editorial review
underway

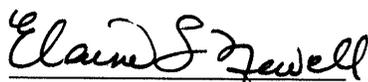
The Board Office and the Regent institutions are in the process of reviewing for consistency the Policy Manual revisions that have already been approved and are proposing editorial changes. Changes proposed for Policy Manual sections as a result of the editorial review with the institutions and Regent comments are as follows:

List of governance
reports modified

- §1.03E: Governance Reports – modifies the list of governance reports received by the Board based on Board and institutional consultation. Attachment 1 shows proposed modifications. Attachment 2 shows the list of governance reports as they will appear if this modification is approved.

Analysis:

The editorial changes proposed to the policy on governance reports are consistent with the Board's expressed interests, institutional comments, and Board Office review.


Elaine S. Newell

Approved: 
Gregory S. Nichols

1.03 Governance

.....(Note: Comments within parenthesis identify information that will be reported elsewhere.)

E. Governance Reports

The Board of Regents considers a number of governance reports throughout the course of the year. Items with an asterisk (*) behind them are received by the Board but generally are not docketed for discussion. Typically they list below indicates the subject matter of a report to be considered by the Board though the name of the actual report may vary from the list. The reports include:

Periodic:

Appropriations, Requests, Preliminary and Final
Budget Adjustments –Current Year
Capital Program, Preliminary and Final
~~Institutional Strategic Plans, Preliminary and Final, Review of~~
Legislative Program
Legislative Session Reports, including Governor's Budget
Miscellaneous Fees and Charges, Preliminary and Final
Operating Budgets, Preliminary and Final
Parking Fees, Preliminary and Final
Residence System Rates, Preliminary and Final
Tuition Policies and Rates, Preliminary and Final
UIHC to Board of Regents as Hospital Trustees

Annual:

Affiliated Organizations*
~~Capital Program~~ (Reported periodically, above)
~~Child Care~~
Comprehensive Fiscal Report for Previous Year
Comprehensive Compensation Report
~~Deferred Maintenance~~ (Combined with Facilities Report)
Designated Tuitions and Fees, Allocation of
Distance Education Report
Diversity, Annual Report of (includes Affirmative Action Employment,
Targeted Small Business, Regents Minority and Women
Educators Enhancement Program)
Economic Development, Report on
~~Educational Relations, Committee Report on~~
Facilities Report
~~Faculty Productivity~~ Activity Report
~~Faculty Resignations, Report on~~ (Combined with another report)
~~Faculty Tenure~~ (Combined with another report)
Fall Enrollment Report – Parts I & II
~~Family Practice Residency Program, Report on~~
~~Fire and Environmental Safety~~ (Combined with Facilities Report)
~~Fringe Benefits~~ (Combined with Comprehensive Compensation Report)
Graduation and Retention Rates

Institutional Reports on Academic Program Review/Student Outcomes
Assessment

Institutional Roads Program

~~Internal Audit Plans (Reported to Banking Committee)~~

~~International Agreements, Report on~~

~~Libraries, Report of~~

~~Performance Indicators, Report on (Combined with Strategic Plan)~~

~~Phased and Early Retirement Programs, Annual Report on (Combined
with another report)~~

Competition with Private Enterprise

~~Professional & Scientific (P & S) Pay Plans, Operation of (Combined with
Comprehensive Compensation Report)~~

Professional Development Assignments, Report on

Professional Development Assignments, Request for

Purchasing (*)

Regents Merit System Report

~~Regional Study Centers, Report on (Combined with Distance Education)~~

~~Registrars and Admissions Officers, Report of~~

Residence Systems, Annual Report, Ten Five-Year Plan, and Preliminary
Budget

~~Salary Report (Combined with Comprehensive Compensation Report)~~

~~Spring Enrollment Report~~

Student Financial Aid Report

~~Technology Transfer (Combined with Economic Development)~~

Biennial:

~~Cooperation/Collaboration, Report on~~

~~Faculty Consulting Activities~~

~~Radio Stations, Reports on~~

Unit Cost Study

Banking Committee:

External Investment Fund Manager Reviews

Internal and External Audit Reports

Internal Audit Plans

Investment and Cash Management

~~Annual Master Lease Report~~

1.03 Governance

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Periodic:

- Appropriations, Requests, Preliminary and Final
- Budget Adjustments –Current Year
- Capital Program, Preliminary and Final
- Strategic Plans
- Legislative Program
- Legislative Session Reports, including Governor's Budget
- Miscellaneous Fees and Charges, Preliminary and Final
- Operating Budgets, Preliminary and Final
- Parking Fees, Preliminary and Final
- Residence System Rates, Preliminary and Final
- Tuition Policies and Rates, Preliminary and Final
- UIHC to Board of Regents as Hospital Trustees

Annual:

- Affiliated Organizations*
- Comprehensive Fiscal Report for Previous Year
- Comprehensive Compensation Report
- Designated Tuitions and Fees, Allocation of
- Distance Education Report
- Diversity, Annual Report of (includes Affirmative Action Employment, Targeted Small Business, Regents Minority and Women Educators Enhancement Program)
- Economic Development, Report on
- Facilities Report
- Faculty Activity Report
- Fall Enrollment Report – Parts I & II
- Graduation and Retention Rates
- Institutional Reports on Academic Program Review/Student Outcomes Assessment
- Institutional Roads Program
- Competition with Private Enterprise
- Professional Development Assignments, Report on
- Professional Development Assignments, Request for Purchasing*
- Regents Merit System Report

Residence Systems, Five-Year Plan, and Preliminary Budget
Student Financial Aid Report

Biennial:

Unit Cost Study

Banking Committee:

Internal and External Audit Reports

Internal Audit Plans

Investment and Cash Management

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. Fees and Charges, 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.
- 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 -- §7.04: Financing, in January 2004
- Chapter VII Business Procedures -- §7.05: Purchasing, in January 2004.
- Chapter VIII Fees and Charges -- §8.06: Charges and Fees, in January 2004.