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ADMINISTRATIVE MEMORANDUM NO. 119

DATE: April 15, 1996
TO: Vice Presidents
Deans
Unit Heads
FROM: Virginia L. Steiner *JLS*
SUBJECT: Procedure for Submitting Materials to the Board of Trustees

RECEIVED
APR 15 1996
O.G.C.

Attached is the Procedure for Submitting Materials to the Board of Trustees. This revised procedure is the result of the implementation of a number of changes in the Board meeting format and the submission of Board materials which were requested and approved by the Board of Trustees. It is effective immediately. The procedure calls for the utilization of preprinted forms for submission of presentation summaries, informational reports, and recommendations to the Board. Instructions for preparing the forms and examples are provided. Copies of the forms can be obtained in the Office of the Board of Trustees.

The changes in policy for submission of Board materials require that specific items which previously were sent to the Board with recommendations for action should now be submitted as informational reports. Specifically, these items are as follows:

- Academic Calendar
- Academic Leaves
- Assistant and Associate Faculty Promotions (without tenure)
- New Titles Added to the Classification Plan
- Personnel Actions
- University Holiday Calendar

The above documents are to be prepared as informational reports to the Board of Trustees following the instructions outlined in the attached procedure. Because the items will not be approved by the Board as they were in the past, a new method of review and approval by the President will utilize the "Informational Reports" submittal form for Board materials.

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The procedure will be as follows: An informational report (e.g. the Academic Calendar) will be sent to the Board Office using the appropriate form. Upon receipt of the report, the Board Office will forward it to the President who will review the report and indicate approval by his signature. The report will be returned to the Board Office and a copy will be sent to the preparer of the report to confirm that the President has reviewed and approved the document and that it will be presented to the Board.

The procedure which is outlined above and also in the attachment will be followed for the submission of briefing summaries and recommendations. After the President's review and approval of these items, a copy of the signed submittal will be forwarded to the preparer as a confirmation.

Questions regarding the procedure for submitting materials to the Board of Trustees should be directed to the Office of the Board of Trustees, Mail Location #0062, phone 556-3233.

Attachments

PROCEDURE FOR SUBMITTING MATERIALS TO THE BOARD OF TRUSTEES

Materials submitted to the Board of Trustees for information or consideration at a Board meeting are of three types: (1) Presentation or Briefing Summaries, (2) Informational Reports, and (3) Recommendations for Action. To be presented at a specific meeting, an item should be submitted to the Office of the Board of Trustees no later than the due date established for receipt of materials, which is approximately three and one-half weeks prior to a Board meeting. The Board Office determines this date and prepares a yearly calendar of Board Meeting dates and the corresponding "materials due" dates. This calendar is distributed to the President and his Cabinet and is available in the Board Office.

All materials submitted for information or consideration by the Board of Trustees, or one of its Committees, should be placed in the following standardized format for inclusion in the Board Book:

PRESENTATION SUMMARIES

1. Summaries of presentations to the Board should be one page or less in length.
2. The briefing summary should be submitted on the form entitled "Presentation to the Board of Trustees" (see Attachment A). It should be typed in the format indicated on the attached sample and per the instructions given below (see page 4, INSTRUCTIONS FOR PREPARATION OF SUBMITTAL FORM). The name of the presenter(s) should be provided and a signature line(s) with title should provide the name of the individual(s) who prepared the summary.
3. There may be an attachment to a briefing summary. A brief and concise explanation of the attachment should be included in the summary. It should not be necessary to read the attachment in order to understand the summary.
4. Supporting documents for briefings (i.e. brochures, etc.) which cannot be included in the Board Book should be submitted to the Board Office with the summary by the "materials due" date. These items will be delivered to the Board members with the Board Book approximately ten days prior to the meeting, or at a time designated by the briefing presenter.

INFORMATIONAL REPORTS

1. Informational reports may have numerous pages or be only one or two pages in length.
2. A short report should be submitted on the form entitled "Report to the Board of Trustees" (see Attachment B); the same form should be used as a cover page for a lengthy report.

INFORMATIONAL REPORTS - Continued:

For a short report, the text should be typed in the format indicated on the attached sample and per the instructions given below (see page 4, INSTRUCTIONS FOR PREPARATION OF SUBMITTAL FORM). If more than one page is required, a heading should be typed on an additional page stating the title of the recommendation, date of submittal, and page number.

As a cover sheet for a lengthy report, the same format should be used giving a brief description of the nature of the report and a notation that the report is attached. A signature line(s) with title should provide the name of the individual(s) who prepared the report.

3. Reports may be submitted to individual Board Committees upon request.
4. A report may be submitted to the Board Office at any time (prior to the "materials due" date) and will be held for the next scheduled Board meeting.

RECOMMENDATIONS TO THE BOARD OF TRUSTEES

1. A recommendation should be one page or less in length. However, additional pages should be used if the recommendation requires a more detailed explanation. If more than one page is required, a heading should be typed on an additional page stating the title of the recommendation, date of submittal, and page number.
2. A recommendation should be submitted on the form entitled "Recommendation to the Board of Trustees" (see Attachment C). It should be typed in the format indicated on the attached sample and per the instructions given below (see page 4, INSTRUCTIONS FOR PREPARATION OF SUBMITTAL FORM). A signature line(s) with title should provide the name of the individual(s) who prepared the recommendation.
3. Whenever possible a recommendation should begin with the phrase "It is recommended that the Board of Trustees...". The recommendation should include a clear, precise, and succinct statement of the recommendation, its purpose, rationale and, if appropriate, the date the action will become effective. In addition, the statement should reference any pertinent legal requirements or outside authority or documents.
4. A recommendation should be written in such a way that it will be understood by anyone. This includes Board members; alumni, faculty, and student representatives to the Board; representatives of the media; and the general University community who do not have the advantage of participation in detailed discussions about the recommendation as it is developed, or the advantage of close familiarity with the internal operations of University units.

RECOMMENDATIONS TO THE BOARD OF TRUSTEES - Continued:

5. There may be an attachment to a recommendation. A brief and concise explanation of the attachment should be included in the recommendation. It should not be necessary to read the attachment in order to understand the recommendation.
6. Supporting documents for a recommendation (i.e. brochures, etc.) which cannot be included in the Board Book should be submitted to the Board Office with the recommendation by the "materials due" date. These items will be delivered to the Board members with the Board Book or at a time designated by the preparer of the recommendation.
7. A recommendation is ordinarily reviewed and approved by one or more Board Committees before being considered by the Board as a whole.
8. Recommendation for Approval of a Contract: A recommendation for approval of a contract should be submitted after completion of the appropriate approval process. Renewals and modifications of contracts should reference previously executed documents and should contain an explanation of all changes.
9. Recommendation to the Finance Committee: All recommendations to the Finance Committee require the signature of the Vice President for Finance. A signature line reading "Reviewed by:" and stating the name and title of the Vice President for Finance should be typed below the preparer's signature line.
10. Recommendation Requesting a University Rule Change: All recommendations requesting a University rule change require the signature of General Counsel. A signature line reading "Reviewed by:" and stating the name and title of General Counsel should be typed below the preparer's signature line.

To request a rule amendment, a recommendation and copy of the rule with the changes indicated should be submitted to the Board Office. The Board Office staff will type the rule in the format designated by the Legislative Service Commission and forward both copies of the rule and the recommendation to General Counsel for review. To initiate the adoption of a new rule, a recommendation and the complete text of the rule should be submitted to the Board Office; the rule will be typed in the proper format and the recommendation and rule will be sent to General Counsel. To rescind a rule, a recommendation and copy of the rule should be submitted to the Board Office; the Board Office will forward them to General Counsel. After review and approval by General Counsel, the recommendation will be returned to the Board Office for submission to the President.

The title of the recommendation for a rule change should state the number, tagline (title), and disposition (adoption, amendment, or rescission) of the rule.

HANDOUTS FOR BRIEFINGS OR RECOMMENDATIONS

It is preferred that handouts to be distributed at a Board Meeting be submitted to the Board Office by the "materials due" date with the corresponding briefing summary or Board recommendation. The Board Office staff will distribute the handouts prior to the meeting by placing them at the seat of each member or will distribute them during the meeting at the direction of the submitting individual.

INSTRUCTIONS FOR PREPARATION OF SUBMITTAL FORM

There are three submittal forms, one for each category of submission (Presentation, Report, or Recommendation). Each form is identified at the top by a heading statement. Forms can be obtained in the Office of the Board of Trustees, 201 Administration Building, M.L. 0062, Phone 556-3233.

The form should be prepared in the same manner as a memo with the words "Date," "Title," "Synopsis," and for briefing summaries the word "Presenter" typed in bold at the left margin.

The "Date" is the date of submittal of the form. The "Title" is the name of the briefing, report, or recommendation. The "Synopsis" is a very brief (preferably one sentence) description of the briefing, report, or recommendation. "Presenter" is the name(s) of the individual giving the presentation.

A signature line or lines with title indicating the preparer(s) should be placed in the lower right-hand corner of the page. All reports and recommendations require the signature of an officer of the University unless the report or recommendation is initiated by the President. In addition to the signature of the preparer, a recommendation to the Finance Committee requires the signature of the Vice President for Finance and a recommendation requesting a University rule change requires the signature of General Counsel (see page 3, paragraphs 9 and 10, RECOMMENDATIONS TO THE BOARD OF TRUSTEES).

It is the responsibility of the Board Office to submit all summaries, reports, and recommendations to the President for his review and signature.

CONFIRMATION OF PRESIDENTIAL REVIEW AND APPROVAL

After the summary, report, or recommendation has been signed by the President and returned to the Board Office, a copy will be sent to the preparer to confirm that the President has reviewed and approved the document and that it will be presented to the Board.

Questions regarding the procedure for submitting materials to the Board of Trustees should be directed to the Office of the Board of Trustees, M.L. #0062, Phone 556-3233.

University of Cincinnati
Report to the Board of Trustees
For Information

Date: XXXXXX xx, xxxx

Title: XXXXXXXX XXX (ALL CAPS AND IN BOLD)

Synopsis: XXXXXXXXXXX XXXXXXX XXXXXXX xx XXXXXXXXX.

XX
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XX
XXXXXXXXXXXX

XX
XX
XX
XX
XXXXXXXXXXXX

XX
XX

Prepared by: _____
XXXXXXXXX XXXXXXXX (Name)
XXXXXXXX xx XXXXXX XXXXXXXX (Title)

(Left and right margins should be 1-1/4 inches, top margin should be 1-3/4 inches, or approximately 4 spaces under the heading. The bottom margin for the Report form is 2 inches. The signature line or lines with title indicating the preparer(s) should be placed in the lower right-hand corner of the page.)

FOR BOARD OFFICE USE ONLY:

Date of Board Acceptance: _____ Submitted by: _____
President

University of Cincinnati
Recommendation to the Board of Trustees
For Action

Date: XXXXXXX XX, XXXX

Title: XXXXXXX XXX (ALL CAPS AND IN BOLD)

Synopsis: XXXXXXXXXXX XXXXXX XXXXXX XX XXXXXXXXX.

XX
XX
XX
XXXXXXXXXXXX

XX
XX
XX
XX
XXXXXXXXXXXX

XX
XX

Prepared by: _____
XXXXXXXXX XXXXXXXX (Name)
XXXXXXXX XX XXXXXX XXXXXXXX (Title)

(Left and right margins should be 1-1/4 inches, top margin should be 1-3/4 inches, or approximately 4 spaces under the heading. The bottom margin for the Recommendation form is 2-1/4 inches. The signature line or lines with title indicating the preparer(s) should be placed in the lower right-hand corner of the page.)

FOR BOARD OFFICE USE ONLY:
Recommendation Number: _____
Date of Board Approval: _____ Submitted by: _____
President