

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

About the Faculty Handbook

This *Faculty Handbook* provides you with policies and procedures of Iowa State University that relate particularly to faculty. It includes academic policies that are the result of collaboration between faculty and administration, procedures that govern faculty activities, and information that explains the organization and functions of the university. The *Handbook* includes information on university general operating procedures and services as well as policies and procedures on teaching, faculty development, and conduct. The *Handbook* is located on the web at <http://www.iastate.edu/~provost/fs/handbook/99toc.html> and is available in hard copy in each department. To inform the editors about additional information that might be added, revised, or linked to the *Handbook*, contact the Provost's Office (294-9591) or Faculty Senate Office (294-9717).

IOWA STATE UNIVERSITY

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Statement of Mission

Approved by the Board of Regents (11/89)

Iowa State University of Science and Technology is a public land-grant institution serving the people of Iowa, the nation, and the world through its interrelated programs of instruction, research, extension, and professional service. With an institutional emphasis upon areas related to science and technology, the university carries out its traditional mission of discovering, developing, disseminating, and preserving knowledge.

Iowa State University provides high quality undergraduate programs across a broad range of disciplines, as befits the institution's stature as a university. In its dedication to excellence in teaching, the university strives to instill in its students the discernment, intellectual curiosity, knowledge and skills essential for their individual development and their useful contribution to society. A common goal of undergraduate education is to assure that all students, regardless of disciplinary major, acquire literacy in science and technology, an understanding of humane and ethical values, an awareness of the intellectual, historical, and artistic foundations of our culture, and a sensitivity to other cultures and to international concerns. Consonant with its role as a teaching and research institution, Iowa State University has a strong commitment to graduate education that, at both the master's and doctoral levels, emphasizes the development of professional, research, and scholarship skills.

As an integral part of the learning process, Iowa State University fosters the discovery and dissemination of new knowledge by supporting research, scholarship, and creative activity. The university also uses existing knowledge to address problems and issues of concern to the state of Iowa in particular, as well as to the national and global community. The university's research and scholarly endeavors are supported by public and private resources and are conducted in an environment of open scientific inquiry and academic freedom.

Extension, professional service, and continuing education activities are conducted through innovative and effective outreach programs that provide the people of Iowa, and beyond, with practical knowledge and information derived from leading instructional and research efforts at Iowa State University and elsewhere. Through its outreach programs, the university stimulates and encourages progressive change.

Iowa State University enrolls academically qualified students who represent diverse age groups, socio-economic levels, racial ancestries, ethnic heritages, and international cultures, and who provide a gender balance. Through the use of a variety of educational opportunities, advanced instructional technologies, and student services, the university supports the development of both traditional and non-traditional students, preparing them for citizenship and life-long learning in a rapidly changing world.

Finally, Iowa State University participates in international efforts to alleviate world hunger and poverty, to prepare students and faculty to be productive and responsible citizens of the world, and to contribute to increased cultural, educational, economic, scientific, and socio-political interchange and understanding between and among Iowans and other members of the world community.

Role and Scope

Role

The role of Iowa State University is defined by the institution's status as the State of Iowa's land-grant university and by its relationship to the other institutions of higher education within Iowa.

- Iowa State University must strive to develop and maintain instruction, research, extension, and professional service programs that fulfill the responsibilities of a major land-grant institution.
- Iowa State University shares with the other public institutions of higher education within Iowa the joint responsibility of providing a full range of high quality educational opportunities. Coordination among these institutions with respect to programs, clientele, and geographic areas is necessary to ensure that the priority needs of all Iowans are addressed and to avoid unnecessary duplication.
- Iowa State has a statewide system for extension education and information dissemination.
- Iowa State continues to be a leading higher education institution with institutional emphasis on science and technology.
- Consistent with its historic role, Iowa State University contributes to the economic development of the state of Iowa by attracting public and private organizations seeking proximity to leading authorities in particular fields, by participating in technology transfer, and by assisting efforts to strengthen and diversify the economic base of Iowa.
- Iowa State University assumes responsibility for helping to protect, maintain and improve Iowa's natural resources through the discovery and diffusion of knowledge and technology.

Scope

Consistent with the university's role and mission statements, the current scope of Iowa State University is described below.

Iowa State University of Science and Technology, a broad-based university with an orientation toward science and technology, has sufficient scope and depth in its instruction, research, extension, and professional service functions to enable it to continue to be a distinguished land-grant university. In addition to its undergraduate and graduate work in the physical, biological, mathematical, and social sciences, it will maintain and develop strong undergraduate programs in the arts and humanities, and will offer such masters and Ph.D. programs in this area as are justified to meet the needs of the state of Iowa and to maintain the overall strength and desirable balance of the university as a whole.

In Iowa State University's professional programs, principal emphasis will be given to the maintenance and development of strong programs in the sciences, agriculture, engineering, veterinary medicine, design, education, business, and family and consumer sciences. Interdisciplinary programs are offered that seek to combine the perspectives and methods of more than one discipline to better address the questions and problems confronting Iowa, the nation, and the world. The international efforts of Iowa State University are to be expanded and enhanced.

Iowa State University will offer no major undergraduate or graduate programs in law, library science, human medicine, dentistry, pharmacy, nursing, hospital administration, occupational therapy, physical therapy, or speech pathology.

Future programs will be determined by the continuing assessment of existing programs and of developing needs. Programs will be curtailed or eliminated when the assessment of need and resources dictates that the resources could be better used for other programs. The university approaches the addition of new programs with considerable caution. Generally, new programs are fashioned out of existing programs in response to developing needs. But if the university is to remain vital, it must be prepared and able to develop, at appropriate times, new programs that are within its general mission and that meet the changing needs of the students and society.

History

Iowa State University, then known as the Iowa Agricultural College, formally opened on March 17, 1869. Initially Iowa State offered courses in agriculture, mechanics (which later developed into engineering), military science, and the liberal arts and sciences. Soon, courses in home economics, veterinary medicine and pedagogy were added. (Iowa State was coeducational from its beginning.) In 1897, the name was changed to Iowa State College of Agriculture and Mechanic Arts. In 1959, the institution became a university and took its present title of Iowa State University of Science and Technology.

Iowa State traces its origin to an historic act of federal legislation. The *Morrill Act* of 1862, which provided federal lands to endow land-grant universities, introduced a new era in higher education. Iowa was the first state to accept the terms of the *Morrill Act* and Iowa State was founded to serve the entire community by developing practical as well as classical knowledge, and to deliver that knowledge more effectively (e.g., through the extension system) to a broader population. Iowa State is also where the Cooperative Extension Service and the Agriculture Experiment Station system, two key programs in the land-grant outreach mission, trace their roots.

Administrative Structure

Iowa State University of Science and Technology is one of five institutions governed by the Board of Regents, State of Iowa. The other institutions are the University of Iowa, the University of Northern Iowa, the Iowa School for the Deaf, and the Iowa Braille and Sight Saving School. The Board of Regents consists of nine members appointed by the Governor with the approval of the Senate. The term of office is six years, with the terms of three members expiring on May 1 of each odd-numbered year. The Board of Regents Office is located in Des Moines, Iowa.

Iowa State University of Science and Technology is the official name of the university. Iowa State University (ISU) is the more commonly used name except where the official name may be required on certain documents. The university is not incorporated, and when a statement of the nature of the university is required, it should be described as "an agency of the State of Iowa."

The **president** is the principal administrative officer of the university and is directly responsible to the Board of Regents for the operation of the university.

The president is held responsible for the administration of university affairs. The president issues diplomas conferring degrees upon the recommendation of the General Faculty and by authority of the Board of Regents.

The president is directly responsible for recommending the appointment of administrative officers who carry university-wide responsibility: the provost, the vice president for business and finance, the vice president for student affairs, the vice president for external affairs, the vice provost for undergraduate programs, the vice provost for research and advanced studies, the vice provost for extension, the academic deans, the treasurer, the controller and secretary, and all other directors and managers of university agencies. The president is also responsible for Institutional Research, Internal Audit, Affirmative Action, Legal Affairs and Government Relations.

The **provost**, through the deans, directors and vice provosts, coordinates and administers the academic, outreach, and research programs and the personnel policies of the university. The person in this position holds responsibility for the University Library, the Computation Center, and, in conjunction with Student Affairs, the Women's Center. The provost is directly responsible to the president and represents the university on the Regents Interinstitutional Committee on Educational Coordination.

The **vice president for business and finance** manages the fiscal operation of the university and is responsible for the offices of the Treasurer, Secretary, Controller, Accounting, Payroll, Administrative Data Processing, Purchasing, Central Stores, Printing, Bookstore, Facilities Planning and Management, Human Resource Services, Accounts Receivable, Environmental Health and Safety, and Flight Service. The vice president for business and finance is also responsible for the general supervision of business operations of all university activities.

The **vice president for student affairs** coordinates all non-academic student services. These services include Enrollment Services, the Registrar, Department of Residence, Student Counseling Service, Student Health Center, Financial Aid and Student Employment, Minority Student Affairs, the Office of Student Life, University Recreation Services, and in conjunction with the provost, International Education Services and the Women's Center.

The **vice president for external affairs** has responsibility for University Relations, intercollegiate athletic programs, the Alumni Association, corporate development, the ISU Foundation, the ISU Museums, and Iowa State Innovation System.

The Faculty

The General Faculty

The General Faculty is the legislative body of the university. It consists of all regular and adjunct faculty members of the rank of instructor and higher as well as all major administrative officers of the university who carry academic rank. The General Faculty is responsible for educational policies and procedures of the university, including the following:

- admission requirements
- graduation requirements
- curriculum and course revisions
- new degree programs
- grading procedures
- candidate recommendations for diplomas, degrees, and certificates to be conferred by the president

Major changes in educational programs and policies approved by the General Faculty must be presented by the president to the Board of Regents for final approval.

The General Faculty is responsible to, and is chaired by, the president. While the Faculty Senate (see below) was created by the General Faculty to conduct its business, meetings of the General Faculty may be held as needed at the call of the president. If the General Faculty dissolves the Faculty Senate, meetings of the General Faculty would then be held at the end of each semester and as needed at the call of the president. The documents of the General Faculty, including minutes of its meetings and reports of major committees, are on file in the University Archives, ISU Library.

The Faculty Senate

The Faculty Senate was established by the General Faculty to act as its representative body and to conduct the business of the General Faculty. The Faculty Senate does the following:

- holds legislative responsibility for general academic and educational policy for the university
- facilitates communication between the faculty and the students and the administration
- cooperates with the administration in conflict resolution

The Faculty Senate is required to hold regular monthly meetings during each term of the academic year. Membership in the Faculty Senate is described in its governance document *Rules and Bylaws of the Iowa State University Faculty Senate*.

The *Basic Document of the Iowa State University Faculty Senate*, as approved by the Board of Regents and the *Rules and Bylaws* of the Faculty Senate are found on the Faculty Senate web site. Also listed are the Faculty Senate Councils and Committees and their current makeup. (see http://www.public.iastate.edu/~facsen_info/homepage.html) In addition the official documents of the Faculty Senate, including minutes of its meetings, agendas, calendars, agenda documents, etc., and all corresponding documents of Faculty Senate councils and committees are on file in the Faculty Senate Office.

The Graduate College

The Graduate College oversees all the programs of post-baccalaureate study offered by the university. Most of the graduate programs are research oriented and lead to a masters degree (with thesis) and to the doctor of philosophy degree. In certain

fields that involve advanced study directed more specifically to vocational or professional objectives, a professional masters degree or a masters degree without thesis is available. (see <http://www.grad-college.iastate.edu>)

The Graduate Faculty

The Graduate Faculty in each of the graduate programs does the following:

- handles admission and classification of graduate students
- establishes requirements for advanced degrees
- has charge of instruction and research at the graduate level
- teaches graduate courses
- serves on program of study committees
- directs work of masters and doctoral students

All graduate courses offered for major or minor credit are taught by graduate faculty members or graduate lecturers.

The Graduate Faculty includes the following as members:

- the president
- the provost
- vice provosts
- associate provosts
- the dean and associate deans of the Graduate College
- deans and associate deans of the other eight colleges
- deans of library services
- directors and associate directors of research institutes

Executive officers of departments, assistant deans, and other members of the faculty may be elected to membership in recognition of accomplishments in their respective disciplines.

Recommendation of faculty for membership in the Graduate Faculty is usually initiated by the faculty of the graduate program and the recommended individual's DEO. Membership is appropriate for the following faculty:

- hold a tenure-track appointment with the academic rank of assistant professor or above at Iowa State University or
- demonstrate competence for pursuing creative work by completing a Ph.D. or highest graduate degree appropriate to the discipline from an accredited or internationally recognized institution

Term appointments to the Graduate Faculty are available for those who meet the requirements for graduate faculty membership, as recommended by the faculty of a program, and who hold the academic rank of the following:

- adjunct
- collaborator
- visiting, temporary, or affiliate faculty

The designation “graduate lecturer” is used for a staff member who is not a member of the Graduate Faculty but who is authorized to teach a graduate course, usually on a temporary basis. Details of the nomination procedures for all of these membership categories are contained in the *Graduate College Handbook*. (see <http://www.grad-college.iastate.edu/publications/handbook/homepage.html>. For the Graduate Faculty web site see <http://www.grad-college.iastate.edu/faculty/faculty.html>.)

Directors of Graduate Education (DOGE)

Directors of graduate education are the graduate program coordinators of graduate majors and interdepartmental programs. DOGEs may be department executive officers or other members of the graduate faculty. Periodic meetings of the DOGEs are scheduled during the academic year for announcements and exchange of information about graduate education and research. Recruitment of graduate students, sources of support, and academic policies are also reviewed at DOGE meetings.

Departmental Organization

The Department

The department is the basic administrative unit within the university. It includes all staff members engaged in teaching, research, and extension activities related to that particular academic discipline. Although most departments are administered within a single college, a few departments—by nature of the diversity of their programs—are located in more than one college and are responsible to more than one dean. All members of the faculty are affiliated with at least one academic department.

Governance Documents

Governance documents for various bodies of faculty have been developed by representative members of the faculty. Faculty members are affected by and should be familiar with the governance documents of the Faculty Senate, their college, and their department.

Basic Document of the Faculty Senate

The *Basic Document of the Iowa State University Faculty Senate* describes the purpose, functions, organization, membership, and other elements of this representative body of the General Faculty. Changes to the basic document must be approved by the General Faculty. The operation of the Faculty Senate is prescribed in the *Rules and Bylaws of the Iowa State University Faculty Senate*. (see http://www.public.iastate.edu/~facsen_info/homepage.html)

College Governance Documents

The governance document of each college describes its mission, governance domains, governance structure, and other policies and procedures. College governance documents are reviewed every five years (next review 2000) by the Faculty Senate Committee of Governance Structure and Documents.

Department Governance Documents

The governance document of each department includes information specific to the department that parallels the type of information in the college document.

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Appointment Policies and Procedures

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Appointment Procedures

The head or chair of a department initiates a proposed new appointment after consultation with members of the department. New appointments are recommended on the basis of education; experience; competence in teaching, research and professional practice; recognition in the field; and, in some cases, prior experience at other institutions.

The recommended appointment must then be approved by the dean of the college, the provost, the president, and the Board of Regents before becoming effective. Media announcements concerning such appointments, where appropriate, are made only by the president after the approval process has been completed.

Appointments to the faculty may be made for the twelve-month fiscal year (A-base) or for the nine-month academic year (B-base). Ordinarily, A-base appointments are reserved for administrative positions and for persons whose responsibilities require year-round service. Most appointments to the teaching faculty are made on B-base. As professionals, faculty members and administrators arrange their own work schedules during their appointment periods so as to carry out their on-going responsibilities to the university. Persons on A-base are on duty the entire fiscal year, during which they accrue twenty-four days of paid vacation. Persons on B-base are on duty during the academic year, and they receive no paid vacation (see "Vacations and Holidays").

B-base faculty members may be appointed for specific assignments in the summer, if warranted by the needs of the department. Ordinarily such appointments are to meet departmental teaching needs and are therefore made for the duration of the summer session, but in special circumstances they may be made for other lengths of time. A B-base faculty member may ordinarily be employed by the university for no more than two months during the summer in addition to the academic year appointment. (Exceptions may be made when necessary to carry out the provisions of a grant or contract, provided that the faculty member's support for that period is entirely from nonappropriated funds and the request for an exception is endorsed by the dean and approved by the provost.) Summer salary when paid from state appropriated funds, is based on the individual's B-base salary during the preceding academic year, prorated according to the length of the summer appointment. Summer teaching appointments are ordinarily made on a year-by-year basis. Any commitments for summer teaching appointments extending beyond one year are contrary to university policy and are, therefore, possible only with prior written approval of the dean of the college and the provost.

Initial appointments may be made to any of the academic ranks--instructor, assistant professor, associate professor, or professor--although the ranks of instructor and assistant professor are appropriate for most such appointments. Appointment to the rank of instructor may be made initially for no more than one year, with option of renewal; subsequent appointments may be made for two-year periods. Appointment to the rank of assistant professor may be for a period of three years or less, with option of renewal for a period up to three years. Appointment to the rank of associate professor and professor may be for a specified term or may be continuous, thereby granting the individual academic tenure. Appointments to tenured positions are made only after consultation and special approval of the dean of the college and the provost.

Making the Appointment

An appointment or reappointment is initiated by the department executive officer (DEO), who specifies the conditions of appointment on a form called a Letter of Intent which must also be signed by the dean and, in the case of a regular appointment, by the provost. The person to whom the appointment is offered signs the form, indicating acceptance of the appointment and the specified conditions. These conditions include the academic rank, salary for the first year (in the case of new appointments), the ending date of the probationary period if one is established, the date by which a notification of intent not to renew is to be given if the appointment is renewable, and any special conditions that apply to the appointment.

Once the offer of appointment has been accepted in writing, the DEO initiates an Electronic Personnel Action which, when approved by all appropriate administrators, makes the appointment official and puts the person on the payroll at the specified time. In addition to the Letter of Intent, the Electronic Personnel Action must be accompanied by a Pre-Employment Monitoring Form signed by the university's affirmative action officer, confirming that the required search procedures have been followed in filling the position. The employee is also asked to complete a Personnel Information Form to be submitted with the appointment material.

Types of Appointments

Faculty appointments at any rank may be one of six types. The type of appointment influences such considerations as fringe benefits, tenure status, and renewal procedures.

Regular Appointments

Regular Appointments are regularly budgeted positions at any academic rank and account for most faculty appointments. For those persons appointed for a specified period of time (term appointment), notice of intent not to renew shall be given according to the deadlines specified in the section on "Nonrenewal or Termination of Appointment." A person on a regular appointment for a specified term is considered to be in a probationary period of service leading to tenure. The length of this period is specified at the time of initial appointment, but it may not exceed seven years. Recruitment for a regular appointment must follow the university's affirmative action procedures, including full advertising. A faculty member on regular appointment participates in the university's benefits program.

Adjunct Appointments

Adjunct Appointments are budgeted positions at any academic rank, with the rank preceded by the term "adjunct." This title signifies that the person, because of special personal or departmental circumstances of a clearly unusual nature or character, is neither tenured nor on a tenure-track (i.e., is not considered to be serving a probationary period). A person employed in a Professional & Scientific (P&S) position may also be accorded adjunct faculty status by an academic department to carry out certain faculty responsibilities for that department.

When an appointment will include the responsibility for teaching a course by a non-tenure-track person, departmental/program faculty consultation is required. The consultation procedures shall be specified in departmental/program governance documents. If circumstances prevent obtaining faculty consultation, the DEO may make a one-year term appointment. Reappointment beyond one year requires faculty consultation as described in the pertinent governance document. The faculty of a department/program may delegate their consultation role to the DEO by a formal vote. Such delegation should be reviewed at the time of reappointment or appointment of a DEO.

Note: The concept in this paragraph was approved by the Faculty Senate in May 1999.

A person on an adjunct faculty appointment is, in most other respects, considered to be a regular member of the faculty. Adjunct faculty are appointed for terms of one to three years, with the option of renewal; notification of intent not to renew must be given according to the statement on "Nonrenewal or Termination of Appointment." Recruitment to fill an A- or B-base adjunct faculty position must follow the university's affirmative action procedures, including full advertising. A person on adjunct appointment participates in the university's benefits program. Adjunct faculty members are considered to be members of the General Faculty for purposes of voting on university-wide matters, including Faculty Senate elections, and are eligible to serve on the Faculty Senate. Their voting status within their departments, however, is determined by the governance policies of the individual departments.

With the exception of persons on continuous adjunct appointment (see below), a person on a full-time university-funded A- or B-base adjunct appointment may hold faculty rank for no more than seven years. This restriction does not apply to persons whose primary responsibility is properly classified as P&S or administrative or is outside the university, nor does it apply to persons whose primary appointment is not in a college.

Under extraordinary circumstances and with prior approval of the provost, a person on a full-time adjunct appointment may be permitted to have his or her service extended beyond seven years and be considered to have a **continuous adjunct** appointment, subject to termination only for cause. Cause includes not only inadequate performance but also factors such as discontinuation of financial support, lack of need for the role the person has been playing in the department, significant change in the nature of that role, or other circumstances related to the nature of the position within the department. Faculty on continuous adjunct appointment are eligible for review for promotion in accordance with university promotion policies and procedures.

Inasmuch as an adjunct appointment is intended to be made only for special circumstances, all adjunct appointments, whether short-term or continuous, should be accompanied by a statement placed in the individual's personnel file at the time of the initial appointment explaining the special circumstances that justify the adjunct appointment. Adjunct status may not be used as a replacement for tenure-track status for a probationary faculty member who has been denied tenure.

Visiting Appointments

Visiting Appointments are ordinarily intended to provide special input into the teaching or research program of the department. A visitor is usually a member of the faculty of another institution and is appointed at the rank held at that institution. A visitor may, however, also come from business, industry, or government, in which case the appointment is at a rank consistent with the individual's professional experience. A visiting appointment is usually for one academic year, but may be for a shorter period of time. It is not subject to renewal, so no special notification of intent not to renew is necessary. The person is not considered to be tenured at Iowa State, nor is the visiting appointment considered to be service in a probationary period leading to tenure since renewal is not contemplated. If, however, the individual is subsequently given a regular appointment due to changes in circumstances within the department, continuous time up to one year served in a visiting status may be credited toward completion of the probationary period. Since visiting appointments are not renewable, the university's affirmative action procedures do not apply and the position need not be advertised. Visitors appointed for at least nine months may, at their option, participate in the university's benefits program.

Temporary Appointments

Temporary Appointments are short-term appointments, ordinarily not in the budget, made to meet a special staffing need within the department. They may be made at any rank but are usually at the instructor or assistant professor level. They may be for no longer than one year and carry no assumption of renewal, although a person may be given another temporary appointment if the conditions that prompted the original appointment continue to exist. A given individual may be appointed for no more than five years on full-time temporary appointments and may not be appointed again at a later date except by special permission of the provost. This limitation does not apply to a series of part-time appointments, provided that the individual's duties are significantly less than those of persons on full-time appointments. In order to be consistent with the university's affirmative action procedures, departments may advertise for a pool of applicants from which temporary appointments may be made when circumstances require. If such a pool has not been obtained and an emergency situation arises, special permission of the provost is required to waive the usual search period. Since the appointment is not subject to renewal, no special notification of intent not to renew is necessary. A temporary appointment is not considered to be service in a probationary period leading to tenure. If, however, a person on a temporary appointment is subsequently appointed to a regular position in the department, time spent on a temporary appointment may, at the discretion of the individual and the department, be credited toward completion of the probationary period. Persons appointed for less than nine months are not eligible to participate in the university's benefits program; those appointed for nine months are eligible for the program.

Collaborators

Collaborators are persons not employed by the university who are appointed to the faculty with the understanding that they will receive no remuneration for services rendered to the university.

Typically they are persons whose special expertise is deemed useful to the university in connection with a particular teaching or research program. A collaborator appointment may be made at any academic rank and remains in effect as long as it is mutually agreeable to both the department and the individual. A collaborator is not tenured, does not serve a probationary period leading toward tenure, and does not participate in the university's benefits program.

Affiliates

Affiliates are persons appointed to the faculty without financial obligation on the part of the university, to carry out scholarly activities from which the individual as well as the department and the university will benefit. (In order to qualify for a faculty appointment, it is assumed that the individual's scholarly qualifications will be at least equivalent to those of an assistant professor in the department in which the appointment will be made.) Unlike collaborators, affiliates are not employed on a regular basis outside the university. Since an affiliate is not filling a university position for which he or she competed, he or she may not be assigned duties or responsibilities - such as teaching courses or providing research support for other faculty or staff - that would ordinarily be carried out by a person in a faculty or P&S position. If a department desires to assign such responsibilities to a person on an affiliate appointment, that person's appointment status may be converted to an appropriate status by following the university's procedure for filling a faculty or P&S position.

Ordinarily an affiliate appointment is initially made at the rank of assistant professor, although it may be made at another rank more commensurate with the individual's qualifications. It is typically made for at least one year but it may be made for up to three years, and it may be renewed. The conditions of the appointment, including the extent to which the department will provide support services for the individual, are stated in a written agreement signed by both parties at the time of the appointment. If a person on an affiliate appointment obtains financial support from a grant or contract for which he or she is the principal investigator, he or she is paid through the university's payroll system and may participate in the university's benefits programs, provided that all salary and benefit costs are supported by the affiliate's grant or contract. An affiliate is not tenured, and time spent in affiliate status is not considered to be service in a probationary period leading toward tenure. Persons on affiliate appointments are, however, subject to university and faculty policies.

Joint Academic Appointments

A faculty member may hold an appointment in more than one academic department. Initiation of such an appointment --which may be made either coincidental with, or subsequent to, the individual's original appointment --requires the submission of a Letter of Intent signed by the executive officers of both departments and the dean or deans of the college(s) involved. In approving the appointment, the second department should stipulate in writing the role the faculty member will play in that department, including the person's rights with respect to involvement in the governance of the department. One of the departments is designated as the individual's primary department, which is considered to be the faculty member's home department for purposes of initiating personnel actions. Recommendations for promotion and tenure are initiated and submitted by the

faculty member's primary department, with the advice of the secondary department. Ordinarily, the faculty member's tenure is assumed to reside in the primary department only. Joint appointments may involve joint budgeting, but the primary department may also fund the faculty member's entire salary. In the latter case, the appointment in the secondary department is sometimes referred to as a courtesy appointment. In cases where a faculty member's duties and budget are split 50-50, there may not be a primary department. In such cases, the tenure resides in both departments and the departments are equally responsible for the professional development of the faculty member.

Nonrenewal or Termination of Appointment

Written notice that a term appointment is not to be renewed shall be given to the faculty member in advance of the expiration of the appointment, according to the following minimum periods of notice:

- not later than March 1 of the first academic year of service at Iowa State, if the appointment expires at the end of that year; or if a one-year appointment terminates during an academic year, at least three months in advance of its termination
- not later than December 15 of the second academic year of service at Iowa State, if the appointment expires at the end of that year; or if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination
- at least twelve months before the expiration of an appointment after two or more years at this institution

In the event of extraordinary financial crisis leading to termination of faculty members with continuous appointment (tenured), notice of termination shall be given not less than twelve months prior to the effective date of termination.

If a member of the faculty desires to terminate an existing appointment at the end of the academic year or to decline a renewal, he or she shall give notice in writing at the earliest opportunity but not later than April 15. A faculty member may properly request a waiver of this requirement in case of hardship or in a situation where he or she would otherwise be denied substantial professional advancement.

A probationary faculty member being considered for reappointment or for tenure shall be given the opportunity, well in advance of the final decision, to present to the departmental committee charged with making the recommendation any evidence he or she believes may be relevant and helpful to his or her case.

A probationary faculty member who is not recommended for reappointment or for award of tenure shall be given an explanation of the action in an informal conference with the department head or chair and, if he or she requests it, shall be given a statement of reasons in writing. A faculty member who is denied reappointment or tenure can secure a review of the decision either through administrative channels or the Faculty Appeals Committee if the faculty member believes that it results from improper procedure, or rests on grounds which violate academic freedom or constitutional rights, or is substantively arbitrary or capricious. In such appeal procedures, the burden of proof is on the faculty member.

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Salary Policies and Procedures

Faculty salaries are determined annually on a merit basis and reflect evaluations of performance in teaching, research, extension, and general university service. Within the limits of budgetary resources, every effort is made to maintain faculty salaries at a level competitive with those of similar universities throughout the country. Because Iowa State University is a public institution, the salaries of all employees are a matter of public record.

The general procedure for initiating salary recommendations begins with the head or chair of a department or with persons in charge of the individual's work. In some departments, committees assist the executive officer in the evaluation. The department's salary recommendations are then reviewed with the college dean, who in turn makes his or her recommendations to the provost and to the president. The university's recommendations are then submitted to the Board of Regents for final approval.

Merit Increase

As a rule, within the limits of the budget, it is the policy of the administration to recognize individual achievement as a basis for salary increases. The work of an individual is measured by teaching competence and creativity; by effective assistance to students in worthwhile activities outside the classroom; by administrative and committee work to facilitate or improve the work of the university as a whole; by the writing of professional papers, articles, or textbooks; by activity in professional societies; by representing the university as lecturer or discussion leader; by outstanding service among individuals and groups off campus; and by productive research for immediate or ultimate public benefit. It is not easy to judge each person on a merit basis, but those responsible for recommendations make every effort to evaluate the person and his or her work as accurately as possible.

Promotion Increase

Promotion in academic rank is usually accompanied by a salary increase of a fixed amount, according to the rank involved. The amount of the promotion increase is determined each year by the administration, in consultation with the Faculty Senate Committee on University Budget.

Payroll Procedures

New Employee Registration

All employees hired at Iowa State University must report to the Office of Human Resource Services, 16 Beardshear Hall, on or before the first day of employment to provide Form I-9 (Employment Eligibility) Verification, to register for payroll, and to arrange details regarding benefits.

Non-United States citizens (both immigrant and nonimmigrant) must first go to International Education Services, 4 Hamilton Hall on or before their date of hire to complete the Form I-9 (Employment Eligibility) Verification. They must then submit the completed form to the Office of Human Resource Services to register for payroll and benefits.

Paychecks

Paychecks for faculty are issued the last working day of the month and include pay due through that month. Faculty members on B-base (9-month) appointment receive one-ninth of their salary at the end of each month from September through April; they receive half of the remaining one-ninth at the end of August and the other half at the end of May. After a year's service, B-base faculty members may elect to have their academic-year salary distributed across the entire fiscal year, thus receiving one-twelfth of their salary at the end of each month.

Paychecks are mailed directly to employees at their campus address or, at the employee's request, may be direct-deposited to any bank, savings and loan, or credit union where the employee has an account. An earnings statement explaining the paycheck and deductions is sent to the employee via campus mail. Paychecks and/or earnings statements are put in campus mail the day before payday.

No paychecks can be issued without I-9 (Employment Eligibility) Verification, social security number, withholding exemption certificate, residence address and phone, bank order authorization, campus location and phone.

Deductions

The Board of Regents has established guidelines for deductions that may be withheld from an employee's payroll check. The following is a partial list of possible deductions:

federal and state income tax	Credit Union
federal social security tax	United Way campaign
retirement programs	parking permits
bond purchases	ISU Center series tickets
amount owed to the university	ISU Foundation contributions
group medical, dental and life insurance, and flex programs	long term care

Benefits

The information contained in this handbook on the university insurance and retirement benefits programs is a general summary of those programs. Answers to specific questions and additional information are available from the individual benefit booklets or the Benefits Section of the Office of Human Resource Services.

Once a year, each employee receives a statement of benefits. The statement is provided to assist the employee in better understanding the benefits programs he/she participates in and their worth, as well as to assist the employee in planning a financial future. Each benefit program is listed, along with the amount paid by the employee and the amount paid by the university. These statements are distributed by the Office of Human Resource Services.

Insurance

Basic Life Insurance. The life insurance program provides term life insurance with accidental death and dismemberment provision in the amount of two times the

employee's annual budgeted salary. To be eligible, an employee must be on a regular budgeted appointment of one-third time or more for nine continuous months or longer.

The premium is paid by the university. A benefit credit of equal value is given if the employee elects not to participate. Enrollment must be completed within 31 days of employment. A conversion policy is available if employment terminates. Employees pay all supplemental costs, and Dependent Life is available.

Hospital and Medical Insurance. Hospital and medical insurance, available through the university, provides for hospital services, physician services, and other medical costs.

To be eligible, an employee must be on a budgeted appointment of one-third time or more for nine continuous months or longer.

Participation is optional. Enrollment must be made within 31 days of the date the employee is eligible. A reduced benefit credit is given if the employee elects not to participate.

Dental Insurance. The dental insurance available through the university provides coverage for diagnostic and preventive services, basic services, and major services.

Eligibility requirements are the same as for hospital/medical insurance.

Participation is optional. Employees must enroll within 31 days of their eligibility. Enrollment at other times is permitted, subject to a reduction of certain benefits or by providing evidence of insurability. A benefit credit is given if the employee elects not to participate.

Note: For certain groups of employees, a double-spouse premium schedule is available for hospital/medical and dental insurance. Both spouses must be entitled to participate on a single-plan basis in a state or Regents-sponsored hospital/medical and/or dental plan.

Long-Term Disability Insurance. The long-term disability insurance program provides an income to disabled employees whose disability has continued for at least 90 workdays. There is a coordination of benefits with Social Security, worker's compensation, salary continuance plans, and rehabilitation benefit provisions. The employee may select between two levels of coverage, a 50% of salary plan or a 75/60% of salary plan.

To be eligible for this program, an employee must have a budgeted appointment of one-third time or more for nine months or longer and have completed one full year of continuous university service.

Employees who meet the eligibility requirements will be automatically enrolled in the program upon completion of one year of continuous service. Premiums are paid in full by the university. Earlier enrollment is permitted but will be subject to an underwriting requirement and full employee contributions during the first year.

Benefits cease on the June 30th following the attainment of age 65; or, if disability begins on or after age 61 but prior to age 69, payments continue for five years or through the June 30th following attainment of age 70, whichever is earlier. For disability beginning on or after age 69, the benefit period is 12 months long.

Partial disability benefits are available if an employee is unable to work more than 70% of their ordinary work schedule due to a disability. Partial disability is also subject to the 90 working day waiting period.

If an employee is enrolled in the Teacher's Insurance & Annuities Association-College Retirement Equities Fund (TIAA-CREF) Retirement Program and has qualified for disability payments under the long-term disability policy, the employee's standard contribution and the university's contribution to the TIAA-CREF program will be continued during the period of disability. Termination of this coverage is the same as above.

Employees who participate in a Federal Employees Retirement System (FERS) and who are insured under the long-term disability policy also have this coverage. A TIAA contract would be established at the time of disability and waiver benefits would be paid to that contract. The benefit payments would be the same as those of an employee whose basic retirement plan was TIAA.

Long-Term Care. The university has established a policy of long-term care with TIAA. This employee-pay-all program is available to cover nursing home, home health care, and other related expenses for the employee as well as his/her spouse or domestic partner, parents and parents-in-law. Further information is available in the Benefits Section of the Office of Human Resource Services.

Flexible Spending Accounts

Flexible spending accounts under *Internal Revenue Code* §125 may be used to pay out-of-pocket premium expenses for family medical and dental coverage and/or non-insurance covered medical and dental expenses (medical spending account) and/or dependent care expenses (dependent care spending account). Contributions to these plans are exempt from federal, state, and social security taxes. Internal Revenue Service (IRS) rules govern the types of expenses eligible for these programs, the timing of the expenses, and the changes allowed during the plan year in the contribution amounts. Eligibility for these programs is similar to the medical programs. Benefit credits generated from the employee's program selection are placed in one or the other of these spending accounts.

The Office of Human Resource Services has additional information on these accounts.

Worker's Compensation

The Iowa *Worker's Compensation Act* covers all university employees while on official duty. The employee makes no payment for this coverage.

Any personal injury sustained by an ISU employee in the line of duty should be reported immediately to the Office of Human Resource Services by the supervisor and/or department head on the First Report of Injury form.

Any injury sustained by a university employee in the course of university-related employment should be treated immediately. Integra Health, the Student Health Center and the Occupational Medicine Department of the Ames Laboratory are available for the treatment of minor injuries.

The university hospitalization plan will not pay claims for accidents in which the employee is eligible for Worker's Compensation. If an accident or injury requires treatment, the employee should advise the desk attendant where the treatment is obtained that a Worker's Compensation claim may be filed. Whenever possible, Worker's Compensation services should be provided by an authorized caregiver.

Additional information may be found in the *Office Procedure Guide* or obtained from the Office of Human Resource Services.

Unemployment Insurance

All university employees are covered under the job insurance laws of the State of Iowa. Information regarding unemployment insurance may be obtained from the Job Service of Iowa Office or the Office of Human Resource Services.

Retirement

In conformity with the Federal Age Discrimination in Employment Act, Iowa State University employees are not subject to a mandatory retirement age. It is understood, however, that the question of capacity to perform required work may arise at any age and that the university has the right to terminate or to adjust period of employment at any time for good and sufficient reasons. Persons who have retired from the university may subsequently be re-employed by Iowa State for occasional temporary appointments under emergency conditions. However, they will not be eligible for university benefits except those covered by their retirement program and those required by law.

The Retirement Advising Office, 88 Scheman Continuing Education Building, offers seminars in planning for retirement and assists faculty who wish to discuss personal concerns related to retirement. It also publishes a booklet, *Your Retirement from Iowa State University*, that contains information on policies and procedures relevant to retirement.

- **Federal Employees.** Iowa State University staff who participate in the Civil Service Retirement System (CSRS) or the Federal Employees Retirement System (FERS) are not eligible to participate in the university's basic TIAA-CREF annuity program with concurrent university contribution, or in Iowa Public Employees Retirement System (IPERS). Federal employees have an option to participate in the federal tax-deferred Thrift Savings Plan and the Federal Employees Group Life Insurance Program.

Information regarding federal benefits is available from the Extension Finance Office, 315 Beardshear Hall.

- **Iowa Public Employees Retirement System (IPERS).** All employees of the university except certain visa holders, are required to participate in IPERS unless they are eligible for and elect to participate in TIAA-CREF or an approved substitute plan.

Premiums to IPERS are paid in part by the employee and in part by the university. An employee who leaves public employment in Iowa before retiring can get a refund of the money he/she has paid into the fund.

The Office of Human Resource Services and the Iowa Employment Security Commission in Des Moines can answer questions and give additional information on this program.

- **Social Security.** All employees of Iowa State University, with the exception of those on cooperative or direct federal appointment and certain visa holders, are covered by Social Security. Civil Service employees employed prior to January 1, 1984, are covered only by the Medicare portion of Social Security. Taxes paid to the Social Security program are established by Congress.

Detailed information can be obtained from the Social Security Office in Des Moines or from the Ames office located at 600 Fifth Street, Suite 100.

- **Teachers Insurance and Annuity Association-College Retirement Equities Fund (TIAA-CREF).** Employees on a budgeted appointment of one-third time or more for at least nine continuous months and at an annual budgeted salary of at least \$7,800, are eligible to participate in TIAA-CREF.

Concurrent participation in TIAA-CREF and IPERS is not permitted.

Premiums for the TIAA/CREF retirement program are paid in part by the employee and in part by the university.

TIAA/CREF is a tax-sheltered annuity under the *Internal Revenue Code*. Employees defer current taxes on their contributions to the program.

Additional information can be obtained from the Office of Human Resource Services.

- **Other Tax Sheltered Annuities.** Other tax sheltered annuity programs are available for employee participation. The Office of Human Resource Services has information about these various programs.

- **Deferred Compensation.** Deferred compensation is the portion of salary elected as current nontaxable income. The nontaxable income is used to purchase an annuity or life insurance contract for the employee.

All permanent and probationary employees who are not enrolled in TIAA-CREF, TIAA-CREF SRA, or other tax sheltered annuities, and who regularly work one-third time or more, are eligible to participate in the Deferred Compensation

Program. Participation is optional and is in addition to any participation in IPERS or Federal Civil Service.

The university does not contribute toward the cost of the Deferred Compensation Program.

Additional information concerning this program may be obtained from the Office of Human Resource Services.

- **Substitute Annuities.** Employees eligible for TIAA-CREF who wish to substitute another retirement program may do so if they make that election before joining TIAA-CREF. Substitute annuities must conform to the risks established for TIAA-CREF and must be approved by the university. Additional information concerning this program may be obtained from the Office of Human Resource Services.

Phased Retirement Program

Faculty members who have attained age 57 and have at least 15 years of service at Regent institutions are eligible to negotiate with their departments a schedule of phasing into retirement. During the phasing period, the employee holds at least 50% but not more than 65% appointment on a schedule that is mutually agreed upon between the department and the employee. Complete details of the provisions and benefits of phased retirement can be obtained from the *Office Procedure Guide* or from the Benefits Section of the Office of Human Resource Services.

Early Retirement Incentive Program

Faculty members who have attained the age of 57 and have 15 years of service at Regent institutions are eligible to request permission to retire under the conditions of the university's early retirement incentive program. Details of the program may be obtained from the Office of Human Resource Services or from the *Office Procedure Guide*. To initiate the application process, contact the Benefits Section of the Office of Human Resource Services for the appropriate forms.

Resignation A faculty member who wishes to resign from an appointment or does not plan to accept a renewal of a current appointment should notify his/her department executive officer in writing at the earliest opportunity to allow time for a suitable replacement to be found. A resignation requires that the department head or chair submit a Electronic Personnel Action.

A resignation should take effect the last day that the individual will be on duty. If circumstances require that an A-base faculty member resign before he or she has the opportunity to use all accrued vacation, a payment covering the value of the remaining vacation time may be made at the time of resignation.

A resignation of a B-base faculty member will ordinarily be effective as of May 15 of the current academic year.

Vacations and Holidays

Approved by the Faculty Senate Executive Board (2/8/91)

A-base faculty accrue vacation on a monthly basis at the rate of two days for each full month of employment. This includes the accrual of two personal holidays per year. Vacation may accrue to twice the annual entitlement.

B-base faculty do not accrue vacation. They are required to be on duty during the academic year on those days when classes are in session, during VEISHEA, and the two working days before the first day of classes of fall and spring semesters. Faculty are expected to manage their professional responsibilities as they deem appropriate, and typically are active throughout the academic year beyond the constraints of formal work hours and work days. B-base faculty may arrange their responsibilities so that they are absent from campus for personal reasons for limited periods when classes are in session. Specific absence days are to be established by mutual agreement between the faculty member and the department executive officer.

Faculty members, regardless of appointment base, are not required to be on duty during official university holidays, which include New Year's Day, Martin Luther King's Birthday, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, the Friday after Thanksgiving, Christmas, and one additional day each year determined by the president and the Administrative Board. (The latter is in addition to the two personal holidays mentioned in the first paragraph above.)

Sick Leave

All faculty members, regardless of appointment base, accrue sick leave at the rate of one and one-half days for each full month of employment, with no upper limit on the amount of unused sick leave that may be accrued. A-base faculty who have accumulated a minimum of 30 days of sick leave may elect to have one-half day (4 hours) added to their accrued vacation account for any month that no sick leave has been used in lieu of the accumulation of 12 hours of sick leave for the month, up to a limit of 12 additional days (96 hours) of vacation. For specific details consult the *Office Procedure Guide*.

Leave of Absence

A member of the staff may be granted a leave of absence without pay for study or research or similar professional activity, or for a compelling personal reason. The leave is recommended by the department head or chair, the dean, the provost, and the president and is approved by the Board of Regents. The granting of leaves depends on the nature of the opportunity or need, as well as the availability of qualified replacements.

Maternity Leave

The time during which an employee is unable to work because of a disability caused or contributed to by pregnancy, miscarriage, abortion, childbirth, and recovery therefrom will be treated as sick leave. If an employee's accumulated sick leave is

insufficient to cover the period of disability, she will, at her request, be granted a leave of absence without pay for the duration of that period. Any request for absence that is beyond the period of disability will be considered as leave of absence without pay or as vacation.

Adoption Leave

A newly adoptive parent is entitled to five days paid leave chargeable to accrued sick leave.

Family and Medical Leave

In accordance with the *Family and Medical Leave Act* of 1993, all university employees are entitled to unpaid leave for the birth of a child and to care for such child; for the placement of a child for adoption or foster care; to care for the employee's seriously-ill spouse, child or parent; and because of a serious health condition that makes the employee unable to perform his or her job functions. (Paid leave may also be available in some of these situations under the university's policies governing maternity leave and adoption leave as described above.)

Leave taken under this policy shall not exceed 12 weeks per fiscal year. Employer contributions shall be made to group health insurance programs during periods of unpaid leave, if the employee elects to continue coverage. On conclusion of a family or medical leave, an employee is entitled to his or her previous position or to an equivalent position with like benefits, pay, and other terms of employment.

Additional information about family and medical leave, including details concerning the procedure to follow to apply for such a leave, may be obtained from the Office of Human Resource Services.

Military Leave

Any member of the staff inducted into extended active duty in the military services will be granted a leave of absence and will suffer no loss of pay from the university for 30 days of such leave. Graduate assistants and B-base personnel should schedule annual military leave during the summer months, when they are not on university duty.

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

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Evaluation and Review

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Approved by the Faculty Senate (10/13/98)
Approved by University Administration – Provost and President (11/2/98)
Approved by Board of Regents (12/3/98)

Note: In this document the term “department” is understood to include any academic unit designated as a “school.”

Evaluation of Faculty Members

General Policies and Procedures. For purposes of evaluating performance, Iowa State University uses the following forms of faculty review:

- annual review
- preliminary review of probationary faculty
- promotion and/or tenure review

Annual Reviews. Faculty members are reviewed annually for performance appraisal and development on the basis of their position responsibilities. This review may serve as a basis for determining merit salary increases.

Annual faculty reviews are conducted by the department executive officer (DEO). In some departments it may be desirable for the DEO to select other persons from the department to aid in this evaluation.

Following the review, the DEO discusses the results with the faculty member, thus providing an opportunity for exchange of ideas that would be of benefit to the individual and the department.

Similar procedures apply to faculty holding administrative positions, such as the department executive officer and dean. These reviews are conducted by their immediate supervisors.

Preliminary Review of Probationary Faculty. Probationary faculty members are typically reviewed by their departments in the second or third year of their appointments. The purpose of this review is to provide constructive, developmental feedback to probationary faculty regarding progress in meeting departmental criteria for promotion and/or tenure. This review also informs the decision to reappoint during the probationary period. (see “Appointment Policies and Procedures”)

The review should be based upon departmental criteria and standards used for promotion and/or tenure. The review process must include peer review and an evaluation by the DEO. External letters are not normally expected as part of the process. Additional reviews may be conducted at the discretion of the department.

Promotion and/or Tenure Review. The evaluation for promotion and/or award of tenure initially takes place within the department, with review at each administrative level above the department. Review of departmental recommendations at the college level must involve faculty from outside the

department concerned. For college procedures related to faculty involvement see the section on College Review in "Procedures for Promotion and Tenure Review." The evaluation procedures for award of tenure are those used for evaluation for promotion. For full descriptions of the standards, qualifications, and procedures see "Standards for Promotion and Tenure," "Qualifications for Academic Rank and Tenure," and "Procedures for Promotion and Tenure Review."

Position Responsibility Statement. It is the policy of Iowa State University that these evaluations are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. The results of all reviews must be shared with the individual faculty members.

A position responsibility statement is a tool that allows for a flexible and individualized system of faculty review, particularly within the promotion and tenure process. The description itself should be general and only include the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments in the promotion and tenure process. The position responsibility statement shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research, or in extension/professional practice.

The statement must be subject to regular review by the faculty member and his/her DEO, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The statement should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. The descriptions should be brief but may include detail important to the department and/or faculty member. The position responsibility statement cannot be changed unilaterally by either the DEO or the faculty member. A department governance document may specify the procedure by which a position responsibility statement can be changed.

At the time of appointment, the DEO and the new faculty member will agree on a position responsibility statement that should be based on the job advertisement. This should stand for the first three years of appointment. In most cases, this initial statement will remain in effect until the tenure review. Any changes in the expectations for the untenured faculty member must be made in consultation between the DEO and the faculty member.

When tenure is granted, the faculty member and his/her DEO should review the details of the position responsibility statement and make any necessary changes.

At least every seven years as part of the annual review process, tenured faculty members should re-evaluate their position responsibilities with their DEOs. The statement may be reviewed and/or changed more frequently as part of the annual review process, but this is not mandated. Any changes in the statement must be made in consultation between the DEO and the tenured faculty member.

Joint Appointment. Evaluation of a person holding rank in more than one department should be initiated and conducted by the primary department, with advice from the secondary department. The individual's Letter of Intent (for new

appointments) and the position responsibility statement will specify the primary department. Prior to the review, the two DEOs should decide on the role to be played by the secondary department, including the preparation of the documentation from the secondary department and the process for including that documentation in the review. In cases with an equal division of responsibilities, the departments may agree to conduct separate reviews.

Evaluation of Department Executive Officers

Periodically each DEO is evaluated on the basis of his or her administrative responsibilities and accomplishments. This review is normally initiated by the college dean as part of a reappointment decision. Mechanisms for department faculty input are provided within the evaluation process. Policies and procedures regarding these reviews are contained in college governance documents and may be included in departmental governance documents.

Evaluation of College and Central Administrators

For information regarding the evaluation of a college dean, see “Policy for Faculty Involvement in Evaluation of College Deans.”

For information regarding faculty review of central administrators, see “Review of Central Administrators.”

Promotion and Tenure

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Note: In this document the term “department” is understood to include any academic unit designated as a “school.”

General Policies on Tenure

Academic freedom is the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression and to speak or write as a public citizen without institutional discipline or restraint. Academic responsibility implies the faithful performance of academic duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that the individual is not speaking for the institution in matters of public interest.

Tenure is the keystone for academic freedom; it is essential for safeguarding the right of free expression and for encouraging risk-taking inquiry at the frontiers of knowledge. Both tenure and academic freedom are part of an implicit social compact, which recognizes that tenure serves important public purposes and benefits society. The public is best served when faculty are free to teach, conduct research, provide extension/ professional practice services, and engage in

institutional service without fear of reprisal or without compromising the pursuit of knowledge and/or the creative process.

In return, faculty have the responsibility of furthering high-quality programs of research, teaching, and extension/professional practice, and are fully accountable for their performance of these responsibilities. Additionally, a well-designed tenure system attracts capable and highly qualified individuals as faculty members, strengthens institutional stability by enhancing faculty members' institutional loyalty, and encourages academic excellence by retaining and rewarding the most meritorious people. Tenure and promotion imply selectivity and choice; they are granted for scholarly and professional merit. The length and intensity of the review leading to the granting of tenure ensures the retention of only productive faculty; periodic performance reviews ensure the continuance of a commitment to excellence.

The system of academic tenure at Iowa State University emphasizes (1) recruitment of the most highly qualified candidates available, (2) creation of an opportunity for scholarly performance in teaching, research/creative activity, and extension/professional practice, (3) continuing evaluation of performance on the basis of areas of responsibilities in the employment agreement, and (4) the positive evaluation of performance resulting in the award of tenure. The awarding of tenure requires an affirmative decision, based upon an explicit judgment of qualifications resulting from continuous evaluation of the faculty member during the probationary period in light of the applicable criteria.

After the award of tenure, faculty members undergo annual reviews and, as appropriate, reviews for promotion. A tenured faculty member may be dismissed only for adequate cause as defined in the section "Faculty Dismissal Procedures." Denial of faculty appointment or reappointment, or removal or suspension from office, or censure, or other penalty must not be based upon any belief, expression, or conduct protected by law or by the principles of academic freedom.

Affirmative action and tenure are compatible concepts. Both seek to ensure the hiring and retention of those who are most qualified. In the appointment process, affirmative action operates to ensure that the most qualified available person is identified and is offered the opportunity to join the faculty. After the initial appointment, the affirmative action program ensures that irrelevant considerations, such as race and gender, play no role in tenure, promotion, and salary decisions.

Eligibility for Tenure. All regular full-time continuous A- or B-base appointments to the rank of instructor or higher accrue rights to tenure. Tenure is associated with the faculty appointment in an academic department.

Tenure accompanies appointment to the rank of associate professor or professor unless a probationary period for the new appointee is clearly specified in advance, or unless it is indicated that the appointment does not carry tenure. The latter is used rarely and is limited to instances of term appointments of a special nature or character. For initial appointments at the rank of associate professor or professor without immediate tenure, the departmental recommendation as to tenure specifies the length of the probationary period.

After the awarding of tenure, the appointment is continuous. Except for resignation, retirement, or death of the faculty member, such appointments are terminable only for adequate cause.

Tenure for Faculty Members in Administrative Positions. At Iowa State University, the appointment of an individual to an administrative position does not automatically guarantee tenure in a department.

An individual who has been a faculty member at another institution and who is appointed to an administrative position at Iowa State University may be proposed for rank in an academic department appropriate for his or her area of professional expertise. That department shall, in turn, determine whether that individual should be awarded tenure by a review consistent with the individual's academic rank and previous experience. Thus, the department that agrees to award academic rank to the person must also make a recommendation regarding tenure.

Department-level administrators are encouraged to remain actively involved in professional activities within the department in the interests of administrative effectiveness and ease of return to regular faculty duties at the termination of administrative responsibilities. Similarly, tenured faculty members who are appointed to administrative positions that require full-time service outside their departments are encouraged to continue to be involved in their academic disciplines.

When a person relinquishes a full-time administrative position after substantial absence from the department, every effort shall be made to assign duties within the university commensurate with his or her professional qualifications. Even though the person might be tenured in an academic department, the decision as to whether it would be most appropriate for the person to return to that department as an active faculty member will be mutually decided by the department and the individual concerned, in consultation with other appropriate administrative officials. Where necessary and appropriate, a reasonable period of transition, usually one year or less, may be allowed during which the person can prepare himself or herself to undertake whatever responsibilities have been determined to be most appropriate.

Terms of Probationary Service. The date that a non-tenured faculty member actually begins the performance of his or her duties at or on behalf of Iowa State University marks the beginning of the probationary period, except for mid-year appointments. The length of the probationary period must be specified at the time of the initial appointment and should ordinarily be no longer than seven years.

In some instances the beginning date of an appointment does not coincide with the beginning of the academic year. In order to give the probationary faculty member the full opportunity to achieve the credentials required for tenure, the full probationary period for a person whose appointment begins during the academic year may extend a few months beyond seven calendar years. The ending date of the probationary period shall coincide with the end of the academic year in the case of B-base appointments, or the end of the fiscal year in the case of A-base appointments, so that the individual's tenure review can take place during a regular review cycle.

Tenure normally is conferred on an individual after seven consecutive years of continuous faculty service in a regular appointment at Iowa State University. A faculty member, therefore, is ordinarily reviewed for tenure in the sixth year. Recommendations for earlier awarding of tenure require documentation of truly exceptional accomplishments.

A faculty member may request an additional review during the final year of the probationary period if there has been a substantial change in the record.

Extension of Probationary Period. Ordinarily the probationary period will provide sufficient time for the faculty member to demonstrate his or her qualifications for tenure. On occasion, however, special circumstances may occur that would interfere significantly with the faculty member's opportunity to develop the qualifications necessary for tenure in the time allowed. (The assumption of parental responsibilities or a major change in assigned responsibilities might be examples of such circumstances.) Under such conditions, the faculty member may request, in writing, an extension of his or her probationary period. To be approved by the provost, such a request must be endorsed by the department executive officer and by the dean of the college. It must be clear in the request that the faculty member agrees that a tenure decision will be reached prior to the end of the new probationary period and that, should the decision be negative, tenure cannot be claimed on the basis that the total length of employment has by then extended beyond seven years.

If a non-tenured faculty member transfers from one Iowa State University department to another, a probationary period may be established for the individual in the department to which the transfer occurs up to the seven-year probationary period applicable generally, even though the total service to Iowa State University may exceed seven years.

In general, changes in departmental mission should be gradual and thus be accommodated by respecting employment agreements with faculty members. In the event that a major shift in mission becomes imperative, such as a sharp reduction in departmental course load, financial exigency may necessitate actions with respect to both tenured and non-tenured faculty members. When exceptional circumstances require a major shift in criteria for the awarding of tenure, a department may request an extension of the probationary period for a faculty member who would not otherwise have adequate opportunity to qualify under the new criteria but who has demonstrated the potential to do so. Such an extension may be granted only with the approval of the faculty member involved, as well as the dean and the provost. If granted, the extension shall be for a specified period of time and shall not be renewable.

A probationary faculty member may, in appropriate circumstances, request a leave of absence from Iowa State University. The leave of absence may also involve a request to extend the probationary period. To be approved by the provost, such a request must be endorsed by the department executive officer and by the dean of the college.

Credit for Prior Service. When a faculty member with prior experience in a faculty position at another academic institution is appointed on a probationary faculty

appointment at Iowa State University, a probationary period is established for the individual as part of the employment agreement. For the faculty member this could result in a total probationary period in his/her discipline that may exceed seven years.

A faculty member's usual probationary period of seven years at Iowa State University may be reduced through credit for prior faculty service at other academic institutions. The amount of time credited will be determined by the specific relevance of the prior service to the needs and criteria of Iowa State University. Evidence of the quality of prior service should be secured from the institution or institutions in which the individual has served.

Up to one year of time served on a visiting appointment at Iowa State University may be credited as probationary time for tenure purposes, provided that service in such visiting status is followed, without interruption, by service in a position for which tenure eligibility accrues.

Criteria for Awarding Tenure. It is the policy of Iowa State University that all faculty of the university shall be clearly informed as to the personnel policies of the institution. Personnel policies of the institution are contained in the *Faculty Handbook*, the *Office Procedure Guide*, and in departmental and college governance documents as well as in additional supplemental information provided to departmental administrative officers. For each faculty member, the conditions of employment, including the length of appointment, shall be clearly stated in writing, along with a statement specifying tenure status and length of probationary period.

The criteria by which probationary faculty in a department are evaluated for tenure shall be stated in writing as clearly and specifically as possible as part of the department's promotion and tenure document. A central component of each review is a written position responsibility statement for each candidate. Criteria will be consistent with a commitment to excellence in scholarship and apply to the position responsibilities of probationary faculty. Such criteria and position responsibilities must not impinge upon the academic freedom of the probationary faculty.

Standards for Promotion and Tenure

Introduction. Iowa State University is a public land-grant institution where liberal and professional education is merged with basic and applied research in pursuit of advancing society's potentials and assisting in solving its problems. The university serves the people of Iowa, the nation, and the world through its interrelated programs of teaching, research/creative activities, and extension/professional practice.

Evaluation of a faculty member for promotion and/or tenure is based primarily on evidence of scholarship in the faculty member's teaching, research/creative activities, and/or extension/professional practice. In all areas of professional activity, a faculty member is expected to uphold the values and follow the guidelines in the Statement of Professional Ethics found in "Professional Policies and Procedures."

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual's current position responsibilities and

activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/ professional practice, and (4) institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements.

The following sections define and provide examples of scholarship and the four central areas of faculty responsibilities and activities.

Scholarship. All tenured and probationary faculty members are expected to engage in scholarship in their teaching, research/creative activities, and extension/professional practice. Scholarship is creative, systematic, rational inquiry into a topic and the honest, forthright application or exposition of conclusions drawn from that inquiry. It builds on existing knowledge and employs critical analysis and judgment to enhance understanding. Scholarship is the umbrella under which research falls, but research is just one form of scholarship. Scholarship also encompasses creative activities, teaching, and extension/professional practice.

Scholarship results in a product that is shared with others and is subject to the criticism of individuals qualified to judge the product. This product may take the form of a book, journal article, critical review, annotated bibliography, lecture, review of existing research on a topic, or speech synthesizing the thinking on a topic. Also falling under the umbrella of scholarship are original materials designed for use with the computer; inventions on which patents are obtained; codes and standards; art exhibits by teacher-artists; musical concerts with original scores; novels, essays, short stories, poems; and scholarly articles published in non-research based periodicals, newspapers, and other publications; etc. In short, scholarship includes materials that are generally called "intellectual property."

Scholarship generally implies that one has a solid foundation in the professional field addressed and is current with developments in that field. However, it must be noted that significant advances sometimes accrue when a scholar extends her or his scope of topics beyond those traditional to a particular discipline.

The following Table 1 describes the broad continuum of scholarship. It is adapted from Conrad J. Weiser, "The Value of a University--Rethinking Scholarship," draft version; and Ernest L. Boyer, *Scholarship Reconsidered--Priorities of the Professoriate* (Princeton, New York, The Carnegie Foundation for the Advancement of Teaching, 1990).

Table 1. The Nature of Scholarship

Character of scholarship	Audiences for scholarship	Means of communicating scholarship	Criteria for validating scholarship	Means of documenting scholarship
Develops and communicates new understanding and insights. Generates, synthesizes, interprets, critically analyzes, and communicates new knowledge, methods, understandings, technologies, materials, uses, insights, beauty and so forth.	Peers, undergraduate students, graduate students, post-doctoral associates, users, patrons, publics, etc.	Teaching materials and methods, classes, curricula; publications, presentations, exhibits, performances, patents, copyrights, distribution of materials or programs, etc.	Originality, significance, accuracy, replicability, scope, applicability, breadth, depth and duration of influence, persistence of influence or use, adoption by peers, impact or public benefits, etc.	Present evidence that creative intellectual work was validated by peers; communicated to peers and broader audiences; recognized, accepted, cited, adopted, or used by others. In other words, that it made a difference.

Table 1 describes the parameters to be used when judging the scholarly nature of a faculty member's achievements in all evaluation reviews.

The nature of scholarly work at a diverse university necessarily varies. In the promotion and tenure review process, however, evidence that a significant portion of a faculty member's scholarship has been documented (i.e., communicated to and validated by peers beyond the university) is required of all.

In some fields, refereed journals and monographs are the traditional media for documenting scholarship; in others, exhibitions and performances are the appropriate form. In still other fields, emerging technologies are creating (and will continue to create) entirely new media. Finally, scholarship may be validated and communicated through conference presentations and invited lectures.

Faculty also may submit evidence of scholarship that has not been documented by peers in the discipline, even though this evidence alone would not be sufficient to justify promotion and tenure. Evidence regarding both documented and undocumented scholarship provides a holistic portrayal of the candidate's scholarly work. For example, course materials in and of themselves do not constitute scholarship. However, if an individual's course materials reveal that he/she "communicates new understandings and insights" (Table 1) effectively to students or "synthesizes, interprets, and communicates new knowledge" (Table 1) for students, this material may be submitted as supporting evidence of scholarship, even though it may not have been communicated to peers outside the university.

Scholarship often requires teamwork and other collaborative relationships, particularly because of the growth of interdisciplinary and collaborative programs. When work that is a result of joint effort is presented as evidence of scholarship, clarification of the candidate's role in the joint effort must be provided.

In the promotion and tenure review process, the emphasis is on the critical evaluation of the scholarly nature of the candidate's achievements by professional peers, including peers external to the university. Evidence should be presented as to the impact of the scholarship in terms of its depth, duration, and/or persistence of influence or use (e.g., citations, adaptations or use by others), as well as its public and critical appreciation. Table 1 provides the framework for the evaluation.

Areas of Position Responsibilities and Activities. In carrying out their responsibilities and activities, faculty will support the university's commitment to diversity by fostering an environment of mutual respect.

The following paragraphs provide examples of activities that may be documented in each area of faculty responsibility as well as methods by which scholarship within these areas is communicated and evaluated. Teaching, research/creative activities, and extension/professional practice are central to the mission of Iowa State University. Institutional service is an important contribution that faculty members make to ensure effective governance at all levels of the university.

Teaching Most faculty have significant teaching responsibilities, and the quality of their teaching is a major factor in evaluating their accomplishments and performances. Teaching is a scholarly and dynamic endeavor and covers a broad range of activities. Some examples of teaching activities include the following:

- presenting resident credit courses, extension and international programs and courses, non-credit seminars and workshops, and continuing-education and distance-learning programs
- directing undergraduate and graduate projects, internships, theses, and dissertations
- serving on masters and doctoral committees
- advising and mentoring undergraduate students, graduate students, and post-doctoral associates

Particular expressions of effective teaching vary widely, and teachers may demonstrate their pedagogical skills in a variety of ways. Some may display their pedagogical abilities in organized lectures, others may promote collaborative learning or may improvise in the classroom in response to the dynamics of a specific group, while still others may be adept in facilitating group discussion.

When teaching is part of the faculty assignment, effectiveness is an essential criterion for advancement. Faculty must demonstrate command of their subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments to promote student learning.

Examples of activities that provide evidence of a faculty member's particular commitment to effective teaching include the following:

- contributions to curricular development, including collaborative courses and programs and service on curriculum committees
- pedagogical innovation, including the incorporation of new technologies and approaches to learning and assessment
- documented study of curricular and pedagogical issues, and incorporation of this information into the classrooms
- development of teaching materials
- pedagogically oriented research
- involvement in student research projects
- contributions to professional societies and organizations that seek to improve teaching
- commitment to advising, which will include knowledge about curricular and extracurricular matters as well as an ability to aid students in using university resources

A portfolio format is used to document faculty teaching activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as teaching philosophy, student ratings of teaching, teaching materials and forms of assessment, peer evaluations based on both classroom observations and review of teaching materials, and evidence of student learning.

The effectiveness of the candidate's teaching activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1.

The scholarship resulting from teaching is documented through such means as peer-reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures and conference papers. Evaluation of scholarship in teaching considers its originality, significance, and/or impact as evidenced by its influence, use, or adoption by peers. While production of teaching materials and surveys of student attitudes about classes are valuable indicators of the scholarship of teaching, peer evaluation of both a faculty member's and her/his students' performances in classes and in subsequent coursework are also appropriate assessments. Such assessments of performance need not be published or disseminated to publics outside the university.

Research /Creative Activities. Faculty members who engage in research/creative activities are expected to make original contributions that are appropriate to their chosen area of specialization and that are respected by peers within and outside the university.

Some examples of research/creative activity include the following:

- conduct of experimental research
- creative performance or exhibition
- conceptualizing and theorizing in an original way
- synthesis, criticism, and clarification of extant knowledge and research
- innovative collection or analysis of empirical data
- seeking and obtaining competitive grants and contracts
- relating research to the solution of practical problems
- leadership in professional societies or organizations

A portfolio format is used to document faculty research/creative activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as summaries of completed, current, and future research projects; descriptions of applied use of research; summaries of grants, patents, and inventions; exhibition catalogs and other non-juried creative works.

The effectiveness of the candidate's research/creative activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1.

Scholarship resulting from research/creative activities is documented through means appropriate to the specialty, such as peer-reviewed publications, lectures, performances, exhibits, invited lectures, conference papers. Evaluation of scholarship considers its impact as judged by its influence, use, or adoption by peers; its originality, richness, breadth and/or depth of expression.

Extension/Professional Practice. Extension/professional practice distinguishes Iowa State as a land-grant university. Faculty members may engage in extension/professional practice activities by utilizing their professional expertise to disseminate information outside of the traditional classroom to help improve the knowledge and skills of their clientele (i.e., the publics they serve) or the environment in which they live and work. This work should be related to the faculty member's position responsibilities.

Examples of activities that fall within extension/professional practice include the following:

- organizing/leading workshops or training sessions
- engaging in clinical and diagnostic practice
- acquiring, organizing, and interpreting information resources
- engaging in technology transfer
- consulting
- serving on agencies or boards because of individual expertise
- serving as a referee for journals, books, grants, exhibitions, etc.
- serving as an editor for a journal or serving on editorial boards
- leadership in professional societies or organizations

Since extension/professional practice activities vary greatly among departments, it is the responsibility of each department to identify faculty activities that fall under this category and the appropriate evaluation methods.

Faculty who engage in extension/professional practice are knowledgeable about current research and new developments in their discipline and demonstrate an ability to interpret and apply this knowledge to meet their clients' requirements. When appropriate, they develop and maintain professional relationships with their clientele in order to identify and serve their needs. They display leadership and initiative, are creative in the practical application of knowledge, and demonstrate a high level of disciplinary expertise as well as the ability to instruct, inform, and assist clients. In addition, a faculty member's professional practice reputation may be reflected by leadership in professional societies and organizations or by significant editorial-related activities.

A portfolio format is used to document faculty extension/professional practice activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as descriptions of appointment responsibilities in extension/professional practice, representative workshop, seminar, and training materials; book reviews; unpublished reports, studies, etc.; newsletters and brochures; peer evaluations or ratings of extension/professional practice effectiveness; and client assessments.

The effectiveness of the candidate's extension/professional practice activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1. The scholarship resulting from extension/professional practice activities is documented through means appropriate to the professional specialty, such as peer-reviewed publications, lectures, videos, software, hardware, workbooks, manuals, standards, bibliographies, book reviews, and casebooks. Evaluation of scholarship should consider breadth, depth, and duration of influence or use; public appreciation and benefit; and applicability or adoption by peers.

Institutional Service. Faculty members are expected to play a vital role in the functioning of the university at all levels by participating effectively in faculty governance and in the formulation of department, college, and/or university policies; or by carrying out administrative responsibilities. Therefore, to be promoted and/or tenured, faculty members are expected to have been involved in institutional service. The level and amount of service are expected to be higher for those seeking promotion to the rank of professor. However, institutional service alone shall not serve as the central basis for promotion and/or tenure. As citizens of the university, faculty members may also make other direct and indirect contributions to their departments, colleges, and university communities.

Qualifications for Academic Rank and Tenure

Recommendations for initial appointment and promotion are based on evidence that the individual has met the qualifications for the faculty rank to which he/she is to be appointed or promoted.

Assistant Professor. An assistant professor should have a strong academic record and ordinarily should have earned the accepted highest degree in his/her field. The assistant professor rank is recognition that the faculty member has exhibited the potential to grow in an academic career. Appointment at or promotion to this rank should be based on evidence that the faculty member can be expected to become qualified for promotion to associate professor in due course.

Associate Professor and/or Tenure. An associate professor should have a solid academic reputation and show promise of further development and productivity in his /her academic career. The candidate must demonstrate the following:

- excellence in scholarship that establishes the individual as a significant contributor to the field or profession, with potential for national distinction
- effectiveness in areas of position responsibilities
- satisfactory institutional service

Furthermore, a recommendation for promotion to associate professor and granting of tenure must be based upon an assessment that the candidate has made contributions of appropriate magnitude and quality and has a high likelihood of sustained contributions to the field or profession and to the university.

Professor. A professor should be recognized by his/her professional peers within the university, as well as nationally and/or internationally, for the quality of the contribution to his /her discipline. The candidate must demonstrate the following:

- national distinction in scholarship, as evident in candidate's wide recognition and outstanding contributions to the field or profession
- effectiveness in areas of position responsibilities
- significant institutional service

Furthermore, a recommendation for promotion to professor must be based upon an assessment, since the last promotion, that the candidate has made contributions of appropriate magnitude and quality and has demonstrated the ability to sustain contributions to the field or profession and to the university.

Procedures for Promotion and Tenure Review

The following three sections describe the general expectations for promotion and tenure review processes as well as the notification procedures to be followed by departments, colleges, the provost, and the president.

Department Review. Review for promotion and/or tenure begins at the department level.

Promotion and Tenure Document. Each department must have a document that sets forth the standards and procedures governing promotion and tenure of faculty within that department. The department document may specify standards that exceed those of the university or college, provided that they do not conflict with the standards of either, and provided the procedures are consistent with those described in the *Faculty Handbook*.

The department's promotion and tenure document must, at a minimum, specify the following with respect to the department's review procedures:

- how faculty members are selected for departmental review for promotion and/or tenure
- the composition and means of selection of the department promotion and tenure committee and of any other department committees that may be involved in the review process
- the definition of conflict of interest operative in departmental review
- the procedures to be followed by the department promotion and tenure committee and related committees in conducting the reviews
- the role of the department executive officer (DEO) in the department promotion and tenure review process
- the process and circumstances under which a review may be postponed
- the types and sources of information that the department review committee will consider in conducting its review

- the means by which persons being considered submit information and documentation for the review process
- the procedures for obtaining any external evaluations used by the department in evaluating the performance of candidates
- the definition of the factual information in the dossier subject to review by the faculty member before it is advanced from the department
- the procedures for the notification of the results of the reviews

The document must be approved by the tenured and probationary faculty of the department, by the dean, and by the provost.

Joint Appointment Procedures. Evaluation of a person holding rank in more than one department should be initiated and conducted by the primary department, with advice from the secondary department. The individual's Letter of Intent (for new appointments) and the position responsibility statement will specify the primary department. Prior to the review, the two DEOs, in consultation with department promotion and tenure committees, should decide on the role to be played by the secondary department, including the preparation of the documentation from the secondary department and the process for including that documentation in the review. In cases with an equal division of responsibilities, the departments may agree to conduct separate reviews and forward separate recommendations to the dean(s). A coordinated recommendation will be made at the dean's level with a single recommendation forwarded to the provost.

Promotion and Tenure Committee. Each candidate must be reviewed by a promotion and tenure review committee, which will examine information relevant to the evaluation of the candidate for promotion and/or tenure. An individual promotion and tenure review committee may include faculty who are not members of the candidate's department. Any member of the promotion and tenure review committee who has a conflict of interest with respect to a candidate shall not participate in the consideration of that individual or have access to review materials. The DEO must inform the candidates in writing of the identity of the members of the department review committee and any other departmental committees that will be involved in the evaluation.

The promotion and tenure review committee reports in writing to the DEO the results of its review, including all formal votes.

DEO. The DEO prepares a Recommendation for Promotion and Tenure form for each person who is recommended by the review committee for promotion and/or tenure. The DEO also may prepare a Recommendation for Promotion and Tenure form for a candidate who is not recommended for promotion and/or tenure by the review committee. The form includes the DEO's evaluation of the candidate; the votes and reports of all departmental reviews; and the DEO's recommendation.

The DEO forwards recommendation forms to the college dean and informs the promotion and tenure review committee of his or her recommendations. In addition, the DEO must prepare and forward to the college dean negative departmental recommendations for persons for whom tenure decisions are mandatory.

Notification Procedure. The DEO will inform each candidate in writing before the department's recommendations are submitted to the college, whether a recommendation will be forwarded and, if so, the nature of the recommendation or recommendations. Persons who are not being recommended by either the promotion and tenure review committee or the DEO, or both, will be informed by the DEO in writing of the reasons. This information should be presented in a constructive manner and, where appropriate, should include guidance for improving performance in terms of the department's criteria for promotion and tenure.

Right to Review Factual Information. Each person for whom a recommendation is being forwarded to the college will be given the opportunity to review the factual information therein, and to inform the DEO of any ways in which he or she believes this information to be incomplete or inaccurate.

College Review. Review for promotion and/or tenure continues at the college level.

Promotion and Tenure Document. Each college must have a document that sets forth the standards and procedures governing promotion and tenure of faculty within that college. The college document may specify standards that exceed those of the university, provided that they do not conflict with the standards of the university, and provided the procedures are consistent with those described in the *Faculty Handbook*. The document must be approved by the tenured and probationary faculty of the college, by the dean, and by the provost.

Promotion and Tenure Committee. A college promotion and tenure advisory committee, composed of faculty members from the college, shall review all positive departmental and/or DEO recommendations for promotion and/or tenure. In addition, the committee will review negative recommendations for persons for whom a tenure decision is mandatory. The votes and recommendations of this committee are forwarded to the dean of the college. Selection procedures for committee membership are defined in the college promotion and tenure document. Selection procedures will incorporate input from the faculty or their elected representatives.

Dean. Each dean reviews the promotion and tenure recommendations from the departments and from the college committee and presents his/her recommendations to the provost, along with the recommendations and votes of the college and department committees, the DEO reports, and supporting material and documentation.

The dean will inform in writing each candidate and the respective DEO and the college committee of the recommendation he/she is forwarding to the provost. If this recommendation is contrary to the departmental, DEO, and/or college committee recommendations, the dean will summarize in writing the reasons as part of his/her recommendation. The DEO will forward the dean's recommendation and summary to the department promotion and tenure committee.

University Review. Review for promotion and/or tenure concludes at the university level.

Provost. The provost makes his/her recommendations to the president of the university. The provost will inform in writing each candidate and the respective DEO and dean of the recommendation he/she is forwarding to the president. If the provost's recommendation is contrary to the dean's recommendation, the provost will summarize in writing the reasons as part of his/her recommendation. The DEO will forward the provost's recommendation and summary to the departmental promotion and tenure committee.

President. The president makes his/her recommendations for the university to the Board of Regents. The president will inform in writing each candidate, the respective DEO and dean, and the provost of the recommendation he/she is forwarding to the Board of Regents. If the presidential recommendation is contrary to the provost's recommendation, the president will summarize the reasons for his/her recommendation in writing. The DEO and dean will forward the president's recommendation and summary to the respective promotion and tenure committees.

Final Notification. Following the Regents' action, the provost provides official notification to the candidates and their DEOs and deans.

Effective Dates for Promotions. Promotions in rank for B-base faculty ordinarily take effect at the beginning of the next academic year. Promotions for A-base faculty ordinarily take effect at the beginning of the next fiscal year; exceptions to these dates may be granted by the provost.

Appeals. Following administrative actions, a faculty member has the right to appeal an adverse decision through administrative channels or through the Faculty Senate Appeals Committee and may pursue other appropriate courses of action.

Documentation Guidelines for Promotion and Tenure

Approved by Faculty Senate (3/24/98)
Approved by the General Faculty (5/1/98)
Incorporating editing and revisions as approved by Faculty Senate Executive Board (9/18/98)
Approved by the Faculty Senate (10/13/98)
Approved by University Administration – Provost and President (11/2/98)
Approved by Board of Regents (12/3/98)

Note: In this document the term “department” is understood to include any academic unit designated as a “school.”

The following types of documentation represent what the candidate, the department, and the DEO are responsible for within the promotion and tenure process.

Candidate Responsibilities

The candidate is responsible for submitting a promotion and tenure vita; a faculty portfolio, which contains supplementary materials provided by the candidate related to the four areas of faculty activity; the current position responsibility statement and any prior statements for the period under review; and names of potential references, as specified by department and college promotion and tenure guidelines.

Promotion and Tenure Vita. The promotion and tenure vita uses the following format and is based upon the candidate's position responsibilities and faculty activities. This vita is a listing of information about the candidate, the candidate's accomplishments in scholarship, and the candidate's activities and accomplishments in the areas of his/her responsibilities.

Candidate Information. This includes name, current rank, degrees held (when, where), and record of professional experience (including Iowa State University)

Scholarship. This includes a listing of documented activities from the areas of teaching, research/creative activities and/or extension/professional practice. These activities must include appropriate accomplishments such as the following:

- publications (including monographs, textbooks, journal articles, book chapters, etc.)
- exhibits and performances
- creative published literary works
- computer programs, videos, software, hardware
- workbooks, lab manuals, manuals, standards, casebooks, etc.
- annotated bibliographies and book reviews
- invited lectures
- conference papers

In addition, the candidate should list any honors, awards, prizes, etc. received as evidence of his/her scholarship.

Areas of Position Responsibilities and Activities.

Teaching. This section includes a listing of teaching activities such as the following:

- teaching assignment and responsibilities
- advising activities
- direction of masters and doctoral candidates
- service on masters and doctoral committees
- training and mentoring activities for post-doctoral associates
- curricular development activity
- grant activity
- leadership positions
- service in professional societies, organizations and events

Research/Creative Activities. This section includes a listing of research/creative activities such as the following:

- completed projects and programs
- current projects and programs
- future projects and programs
- patent awards and inventions
- grant activity
- leadership positions
- service in professional societies, organizations and events

Extension/Professional Practice. This section includes a listing of extension/professional practice activities such as the following:

- relevant accomplishments and activities including consulting; acquiring, organization, and interpreting information resources; and engaging in clinical diagnostic practice
- workshops, seminars, training sessions, etc.
- service on agencies or boards because of individual expertise
- work in the area of technology transfer
- editorial responsibilities for journals (e.g., service on an editorial board or editorship for a journal)
- service as a referee for journals, books, grants, exhibitions, etc.
- grant activity
- leadership positions
- service in professional societies, organizations and events

Institutional Service. This section includes a listing of memberships on department, college, and/or university committees and organizations as well as descriptions of responsibilities and leadership roles within these service positions. The candidate's role should be indicated.

Faculty Portfolio. The faculty portfolio includes important and supplemental materials that provide a clear understanding of the candidate's accomplishments within scholarship and his or her areas of faculty activities.

Scholarship. Required for all candidates. This section provides the opportunity for the candidate to demonstrate excellence in scholarship. It begins with an overall statement of the candidate's accomplishments in scholarship as they relate to teaching, research/creative activities, and extension/professional practice. It must include representative scholarly materials that have been validated by peers.

The section also includes material that document peer recognition and impact of the candidate's scholarly accomplishments such as professional reviews, citation counts, use of scholarship by peers, and awards.

Areas of Position Responsibilities and Activities. This section provides the opportunity for the candidate to demonstrate effectiveness in those areas he/she has appointment responsibilities.

Teaching. This section may include material such as the following:

- ratings of teaching effectiveness
- peer evaluations (based on classroom observations and a review of teaching materials)
- representative teaching materials and forms of assessment
- evidence of student learning
- candidate's teaching philosophy

Research/Creative Activities. This section may include material such as the following:

- summaries of completed, current and future research or creative projects and programs
- summaries of grants and contracts applied for and disposition
- summaries of current grant and contract support
- summaries of potential future grant work
- summaries of patents and descriptions of inventions
- exhibit catalogs
- creative works that are not juried
- laboratory management descriptions
- candidate's research/creative activities agenda

Extension/Professional Practice. This section may include material such as the following:

- descriptions of extension/professional practice appointment responsibilities
- representative workshop, seminar, training materials
- unpublished reports, studies, etc.
- representative newsletters, brochures, reviews, journals, etc.
- peer evaluation or ratings of extension/professional practice effectiveness
- client assessments
- candidate's extension/professional practice philosophy

Institutional Service. This section includes materials the candidate has written or to which he/she has been a primary contributor. This could include such materials as institutional reports or studies.

Department and DEO Responsibilities

Letters of Evaluation (provided by the department). The DEO and/or the department review committee solicits letters from qualified reviewers with the understanding that, insofar as possible, access to them will be limited to persons involved in the promotion and tenure decision. All solicited letters are treated as part of the evaluation process and must be forwarded on to college and university review levels.

Solicited Letters of Evaluation from Professionals in the Field, outside the Institution (six maximum). Letters should be solicited from appropriate professionals in the field and chosen for their ability to evaluate the candidate's activities and accomplishments impartially. They should generally be tenured professors at peer institutions or individuals of equivalent stature outside of academe who are widely recognized in the field. Letters should primarily focus on the aspects of the candidate's work that qualify as scholarship. While in some cases this might mean a focus on one area such as teaching or research, in others it might entail a focus on a mixture of scholarship in teaching, research/creative activities and/or extension/professional practice. At least one of the reviewers, but not all, should be suggested by the candidate.

Letters from Co-authors, Co-principal Investigators, etc. In general, reviewers should not be colleagues with whom the candidate has frequently collaborated. When necessary, however, these individuals should be solicited to detail the nature of collaborative projects or to respond to specific questions.

Letters from ISU Department, College, and University Colleagues. Although not required, letters from department, college, and university colleagues may be important. This may be appropriate for activities related to interdisciplinary research and teaching programs, joint projects, and services provided to other colleagues or in cases where a fuller understanding of specific activities is warranted.

Evaluations (provided by the department and DEO). Evaluations from each level of review will serve as a summary of the case. They should not be statements of advocacy but should address both the strengths and relative weaknesses in the candidate's record of performance. When appropriate they should summarize the primary points made by external evaluators. The evaluations should include the following:

- evaluation of the candidate's accomplishments in scholarship
- evaluation of the candidate's performance in his/her areas of responsibility: teaching, research/creative activities, extension/professional practice, and/or institutional service
- evaluation of the candidate's prospects for future contributions to the field and department
- assessment of the candidate's role and contributions to department and college missions

A Recommendation for Promotion and Tenure Form (provided by the DEO)

Implementation Dates **Effective Dates**

The implementation dates referred to in this section apply to "Evaluation and Review," Promotion and Tenure," and "Documentation Guidelines for Promotion and Tenure."

Promotion and Tenure.

- An untenured tenure-track faculty member whose appointment began before July 1, 1999 may choose to seek tenure and promotion under the pre-1999 P&T Document (see *1998 Faculty Handbook*) until the tenure decision date specified in his/her *Letter of Intent*. This decision should be made in consultation with the DEO and the appropriate departmental committee. The decision to elect the pre-1999 P&T Document must be conveyed in writing to the DEO within 30 days after completion of the Preliminary Review of Probationary Faculty (see "Evaluation of Faculty Members") or, if this review has already been held, by August 1, 1999.
- A tenured faculty member seeking promotion on or after July 1, 1999 may choose the pre-1999 P&T Document (see *1998 Faculty Handbook*) for a review to be completed before July 1, 2002. This choice must be conveyed to the DEO in writing by July 1 of the year in which the review process is undertaken. Consultation with the DEO and the appropriate departmental committee is expected. If the faculty member does not elect the pre-1999 document, this handbook will apply.

Position Responsibility Statement. A position responsibility statement for each faculty member is to be completed during the annual review process that occurs during the 1998/99 academic year. Beginning July 1, 1999 this statement or its revisions should guide all subsequent reviews (annual, promotion, tenure) regardless of the P&T document chosen.

Post Tenure Review Policy

Approved by Faculty Senate (3/23/99)
Approved by Faculty Vote (4/30/99)
Approved by Board of Regents (6/16/99)

Faculty in each department are charged with developing and implementing a plan for review of each tenured faculty member in the unit. Such review should be done periodically, at least once every seven years. The review should address the quality of the faculty member's performance in the areas of teaching, research/creative activities, extension/professional practice, and institutional service, consistent with the faculty member's position responsibility statement. Ideally, the review shall result in recommendations for enhancing performance and provide a plan for future development.

This review does not change the university's commitment to academic freedom, nor the circumstances under which tenured faculty can be dismissed from the university. Grounds for dismissal remain those listed in the *Faculty Handbook* under "Faculty Dismissal Procedures."

The plan for review should designate the following:

- the review participants
- review procedures and timelines
- materials to be reviewed
- distribution and use of the results of the review including communication beyond the department
- mechanisms for the faculty member to respond

The departmental post-tenure review plan shall be reviewed, approved, and revised in accordance with the collegiate governance approval process that applies to departmental promotion and tenure documents.

Evaluation of a College Dean

Approved by Faculty Senate (11/13/90)

Policy for Faculty Involvement in Evaluation

A systematic and constructive review program shall be established whereby college offices and officers are evaluated by their respective faculties. This review program should serve the following two purposes:

- provide constructive and systematic faculty evaluation of college deans and their administrative organizations
- provide faculty opinion for the provost's evaluation of deans

The results of a review should be an improved capacity by the college offices and deans for maintaining academic programs, attaining goals established for the college, and securing resources that support the teaching, research, and service of the university.

Schedule. Reviews, in accordance with college governance documents, will be initiated at least once every five years by the provost in consultation with the appropriate elected collegiate governance organization. In the absence of such an elected organization, the provost will consult the appropriate collegiate caucus of the Faculty Senate.

Enabling Procedures. Each elected college governance organization shall develop written review procedures for their respective college dean. Reviews should result in the following outcomes:

- a self-assessment by the dean
- a performance evaluation of the dean
- provision for formal consultation involving the dean, the provost and the college faculty

Review procedures adopted by each college shall become part of that college's governance document, after review by the provost. Review procedures should be developed by each college before April 30, 1991.

Evaluation of a Teaching Assistant

Approved by Faculty Senate (5/7/91)

Policy and Procedures for Evaluating Proficiency

The supervision of teaching assistants and the maintenance of teaching proficiency standards are the responsibilities of the departments in which teaching assistants perform their duties. To that end departments will evaluate the teaching proficiency of teaching assistants at the end of each academic period. The nature and scope of these evaluations will vary with the instructional setting and the materials being taught.

Evaluations of teaching assistants will encompass the following aspects of teaching as mandated by the Regents policy:

- knowledge of the subject material at a level appropriate for the course being taught
- proficiency in oral and written communication in formal and informal instructional settings
- ability to evaluate student performance appropriately
- facility with appropriate instructional materials and equipment

The departmental faculty has the responsibility to mentor and arrange instructional assistance for students who teach. Policies for evaluation need to be developed at that level to ensure both the quality of instruction and the sustained development of the teaching assistants' professional skills. Written standards and procedures for these evaluations should be developed in a collegial way at the department level and

be provided to teaching assistants at the outset of their teaching appointments. Special attention should be paid to assuring that the standards, review procedures, and the evaluations themselves are fully communicated to the teaching assistants involved. Evaluations should take into account the assistants' knowledge of the subject matter, their ability with written and spoken English, and the social dynamics of the classroom including matters of age, gender, and cultural diversity. Student input will be included in evaluation.

The department executive officers and program directors, college deans, and the provost are responsible for the implementation of this policy and for ensuring that adequate standards of teaching proficiency are maintained among departmental teaching assistants.

(Also see "Oral Communication Competence.")

Evaluation of Central Administrators

Review of Central Administrators

Purposes. This review program has the following two primary purposes:

- to provide an occasion for central administrative officers to evaluate their programs and subunits and, in return, to explain the roles, procedures, and activities of their offices to the university community
- to provide a means for constructive and systematic faculty evaluation of central administrative offices and officers

The review procedure is intended to improve the capacity of administrative offices and officers to provide system maintenance, goal attainment and resource development efforts that support the teaching, research, and service functions of the university. Moreover, the conduct of a review should facilitate communication between central administrators and the faculty, and promote the concept of responsible shared governance in the university.

Scope of Review Program. Central administrative officers are defined as the vice presidents, provost, and above. Under the present administrative structure, the offices of the following officers are to be served by this review program: president of the university, provost, executive vice president, vice president for business and finance, and vice president for student affairs.

Each review will have the following three parts:

- a self-study by the office to be reviewed
- a faculty review of the office and its subunits
- a faculty review of the administrator's performance

Three reports will be issued and a follow-up conference scheduled one year after completion of the review.

Preparatory Office Self-Study. In preparation for a review, an office will conduct a self-study. A Self-Study Report will include, but not be limited to, the office's goals, programs, services, staffing, resources, internal evaluation processes, and relations

with other offices. The document should describe how the office and its responsibilities have changed over the past five years and what the impact has been on the university. Within the general categories indicated, the following questions should be addressed:

- **Goals.** What are the purposes and goals of the office and its subunits? How are goals established and what is the faculty's role in this process? What priorities are given to the principal goals, and what changes in priorities are envisioned? How do the goals of the office support the university's mission statement?
- **Programs.** What are the program activities of the office? What subordinate administrative units are involved in these programs? Exactly how is the program effectiveness of the office evaluated? How are the programs administered by the office responding to the needs of the faculty, staff, students, and the people of Iowa?
- **Services.** What services are provided by the office and its subunits? How effective are these services? What plans for discontinuing or adding services are being considered? What priorities are attached to present services?
- **Staffing.** What is the table of organization for the office? How are staff persons recruited and evaluated? Is the present staff adequate to provide the programs and services of the office? What are future staffing plans?
- **Resources.** What is the budget for the office? What priorities govern the allocation of budget resources administered by the office? What have been the changes in budgetary support for the office in recent years? How does the office evaluate its budget success? Are administrative costs too high, or too low? What facilities does the office have at its disposal and are changes needed or planned?
- **Internal Evaluation.** What are the procedures and timetable used for on-going self-review of subordinate administrative units? Have there been external reviews of subunits? What areas in the office's performance need improvement? How does the office intend to improve its performance? What development plans are being pursued? Are annual or planning reports available?
- **Relations with Other Offices.** How are the office's goals and purposes coordinated with those of other university offices and agencies, with the other Regents institutions, and with the Board of Regents? Is there overlap of functions and responsibilities with other offices? Where appropriate, what are the relationships between the office and the Governor's office, the Iowa General Assembly, and other sources of support for the university?

Finally, the report should mention any other activities or functions that are not addressed in this list, but which the faculty should recognize as important aspects of the office's responsibilities.

In preparing the Self-Study Report, the emphasis should be on evaluation and analysis of activities that directly support the university's mission statement in terms of maintaining the basic academic system, attaining the goals established for the university, and developing the resources necessary to advance the multifaceted purposes of a land-grant university. This report will become a public document.

The office is also encouraged to provide the review committee with the names of faculty members who, because of their interactions with the office, may be able to provide insights about the operations and performance of the office.

Appointment of Review Committee. A separate review committee will be appointed for each office to be evaluated. Before establishing any review committee, the president of the Faculty Senate, in consultation with the president of the university, will provide an appropriate budget so that the committee can effectively perform its duties.

Review committee members will be appointed by the Senate president with suggestions from the Faculty Senate and approval of the Senate Executive Board. Normally, a review committee will consist of seven persons as follows:

- chairperson appointed with the approval of the Senate
- two members from the Faculty Senate's councils appointed one each from the Academic Affairs Council and the Faculty Development and Administrative Relations Council
- three additional faculty members appointed after due consideration is given to the representation of various faculty concerns, and to the needs of the review committee for particular kinds of expertise, depending upon the office to be reviewed
- one or more external reviewers appointed from among off-campus persons nominated by the review committee after consultation with the administrator of the office to be evaluated. An external reviewer should have expertise relevant to the office being evaluated and should have experience at a higher educational institution comparable to ISU. External reviewer(s) should be consulted about the design of the review and visit campus to gather information before preparing a report evaluating the operation of the office under review.

General Review Procedures. Specific procedures for conducting a review will be designed by each committee in collaboration with the Executive Board of the Faculty Senate as appropriate for the office being evaluated. The following policies pertain to all reviews.

1. Schedule. Usually a single administrative office will be reviewed each year, establishing a five year cycle for the review of all offices. However, the Faculty Senate can call for the evaluation of more than one office in a year or for the evaluation of an office more than once every five years, but never more than once every three years. A majority vote of the Senate is required to initiate the review process each year. As turnover of personnel occurs, first reviews should be scheduled about three years into the appointment so as to provide timely constructive advice.

The following order of review is established, subject to considerations of timeliness and annual Senate confirmation:

- Office of the University President
- Office of the Vice President for Business and Finance
- Office of the Provost
- Office of the Vice President for Student Affairs
- Office of the Executive Vice President

2. Conduct of Reviews. In conducting a review, a review committee will confer with persons responsible for framing or approving policies that affect the relationship between the office and the faculty. In addition to the Self-Study Report prepared by the office under review, the committee will have access to all necessary documents and administrative information unless the requested information is considered confidential under state or federal laws. Opinions concerning the performance of the office and officer under review shall also be solicited by at least the following means:

- publication in *University News* of a call for such opinions
- notification of the request for such opinions through the channels of administrative organization - deans to request responses from DEO's; DEO's to urge individual faculty to submit comments; all responses should be sent directly to the review committee
- solicitation of comments from faculty and others who, because of their interaction with the office being reviewed, may have especially useful information

All responses sent to a review committee will be treated as confidential correspondence, subject to applicable laws.

3. Review Committee Reports. The review committee will prepare two written reports. The first, or Office Evaluation Report, is a public document and should not contain confidential information related to the evaluation of the administrative officer. The second, or Officer Evaluation Report, is a confidential evaluation of the performance of the administrative officer. Both reports will summarize the findings of the review committee, and will include any recommendations it deems appropriate.

- Office Evaluation Report. This report will address the issues listed above. A draft of this report will be submitted to the administrator of the office under review, primarily to allow an opportunity for corrections to assertions of fact. The committee will confer with the administrator under review and with the university president (or, if the office of the university president is under review, with the president of the Board of Regents) to discuss the draft report.

Once these processes have been completed, a final report will be written and forwarded to the president of the Faculty Senate who will inform the Senate about the major recommendations. Copies of the final report will also be submitted to the administrator of the office under review (who may make copies for subordinates), to the president (or, if the president's office is under review, to the Board of Regents), and to the Faculty Senate Executive Board. A brief summary will be published in *University News* to alert the faculty to the fact that a review is completed.

Appropriate provision will be made to have reading copies of the office's Self-Study Report and the review committee's Final Office Evaluation Report accessible by all university faculty members.

- Officer Evaluation Report. The review committee will solicit from all members of the university community written and/or oral evaluations concerning the

performance of administrators under review. The Iowa State faculty members of the review committee will summarize the results of this survey in writing and prepare recommendations.

This report will be distributed to the administrator being evaluated, to the university president or Board of Regents depending on to whom the administrator being evaluated directly reports, and to the president of the Faculty Senate. The Faculty Senate president will, in turn, summarize the recommendations before the Faculty Senate Executive Board, meeting in closed session, subject to the requirements of applicable laws.

Follow-up Conference. The Senate president shall instruct the chairperson to reconvene the review committee approximately one year after the two evaluation reports are submitted to determine to what extent the recommendations contained in these reports are being adopted. The committee will solicit, through *University News*, perceptions of the effectiveness with which the recommendations of the Final Office Evaluation Report have been implemented. The committee will request that the reviewed administrator provide a statement indicating how the recommendations in the Office and Officer Evaluation Reports are being addressed. The review committee will prepare a brief perceived progress report and forward it to the officer of the office which was reviewed. The chairperson of the committee will then schedule a follow-up conference.

When the review was of the provost's or a vice president's office, this conference will include the president of the university, the official of the office that was reviewed, and the president of the Faculty Senate. When the review was of the president's office, this conference will include the president of the Board of Regents, the president of the university, and the president of the Faculty Senate.

The Senate president will report to the Senate on the outcomes of these follow-up conferences.

IOWA STATE UNIVERSITY

Faculty Handbook Policies and Procedures Fall 1999

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Introduction

University employees should be aware of the many laws and rules that affect them as employees of one of the state's public universities. A few of those laws and rules are summarized in this section. If an employee has a question about a particular situation and the employee is acting on behalf of the university, the employee should read the actual language of the statute or rule or direct the question to the Office of University Legal Services. Copies of the *United States Code*, *Iowa Code*, *Iowa Administrative Code*, and *Board of Regents Procedural Guide* can be found in the Parks Library or the Office of University Legal Services.

All university employees are responsible for abiding by the university's official policies presented in this section. In some cases, suggested procedures that have been approved by the Faculty Senate are provided to assist faculty. Each section begins with an introductory statement followed by a policy statement and ends with sources of relevant information.

Caution: The following sections describe provisions of law affecting employees by using non-legalistic terminology. It is not intended, nor would it be possible, to make university policy less stringent than the applicable law. Legislative action may amend or add provisions prior to the next update of the *Faculty Handbook*.

Non-Discrimination /Affirmative Action Policy

Reaffirmation 6-1-98

Iowa State University is committed to developing and implementing a program of nondiscrimination and affirmative action, a responsibility the university accepts willingly because it is the right and just thing to do. Because an educational institution exposes the youth of Iowa and of the nation to a multitude of ideas that strongly influence their future development, the university is an area of our society where removing barriers is critical. We insist on promoting the concept of inclusion and participation.

This commitment is part of a larger commitment to developing a safe and supportive climate for all members of the ISU community in classrooms and laboratories, in offices, in the residence hall system, and throughout the campus. Iowa State University recognizes that a non-discriminatory environment complements a commitment to academic inquiry and intellectual and personal growth.

The goal is to provide a non-discriminatory work environment, a non-discriminatory living and learning environment, and a non-discriminatory environment for visitors to the campus. Iowa State University recommits itself to comply with all federal and state laws, regulations, and orders, including the policies of the Board of Regents, State of Iowa which pertain to nondiscrimination and affirmative action.

Policy and Guidelines

- All administrators and personnel providing input into administrative decisions must ensure that all decisions relative to employment, conditions of employment, and access to programs and services will be made without regard to race, color, age, religion, national origin, sexual orientation, sex, marital status, disability, or status

as a U.S. Vietnam Era Veteran.

Exceptions: Exceptions to this directive may be made in matters involving bona fide occupational qualifications, business necessity, actions designed to eliminate workforce underutilization, and/or where this policy conflicts with federal and state laws, rules, regulations, or orders.

- Iowa State University does not and will not tolerate unlawful discrimination. Iowa State will recruit, hire, train and promote persons without regard to race, color, religion, sex, national origin, age, disability, veteran status, marital status, or sexual orientation. Iowa State University will make employment decisions to further the principle of equal employment opportunity and diversity.
- No otherwise qualified person will be denied access to, or participation in, any program, activity, service, or the use of facilities on the basis of factors previously enumerated. Reasonable accommodation will be made to facilitate the participation of persons with disabilities in all such activities consistent with applicable federal and state laws, orders and policies.
- All supervisory personnel will be responsible for maintaining an environment that is free of racial or sexual abuse and harassment. Acts by anyone that adversely affect another person's employment, conditions of employment, academic standing, receipt of services, and/or participation in, or enjoyment of, any other activity, will be regarded as a violation of university policy and thereby subject to appropriate disciplinary action. Retaliation against persons filing complaints for bringing the violation of this policy forward for review or for assisting in a review pursuant to a filed complaint or grievance is prohibited.
- Iowa State University's commitment to nondiscrimination and affirmative action is of the highest priority and must be adhered to as such. It applies to all university-sponsored programs and activities as well as those that are conducted in cooperation with the university.

Sources of Support

The Affirmative Action Office (AAO) is responsible for handling complaints of discrimination based on age, color, national origin, physical and mental disabilities, race, religion, sex, status as a special disabled veteran or veteran of the Vietnam Era conflict, and with some exceptions, other classifications that deprive a person of consideration as an individual. The university's assistant vice president for human resource services also serves as the university's affirmative action officer, with responsibility for implementation of this policy. Questions regarding complaints and/or issues involving affirmative action or equal opportunity should be directed to the Affirmative Action Office, 309 Beardshear, 294-7612.

- The Margaret Sloss Women's Center is responsible for promoting the development of all women to their fullest potential and for enhancing the university's learning environment by fostering intellectual growth and providing a supportive environment for women students, faculty, and staff.
- Three university-wide committees with representation of faculty, staff, and students have been established to assist the administration in its efforts toward continual improvement of equal opportunity.
- The University Committee on Disabilities is responsible for sharing knowledge concerning disabilities with the university community, for fostering awareness of the needs of persons with disabilities, and for advocating ways to meet those needs.
- The Diversity Steering Committee is responsible for assessing campus climate and

making recommendations for improvement.

- The University Committee on Women is responsible for studying the impact of university procedures and policies upon women faculty members, staff members, and students and making appropriate recommendations to the administration.

Inclusive Language Policy

Approved by the Faculty Senate (4/14/92)

Iowa State University encourages the use of language and illustrations that create an environment of respect for human diversity, individual rights, and the equal dignity and worth of all human beings. It also discourages the use of language and illustrations that reinforce demeaning attitudes, assumptions, and stereotypes, or overlook certain populations.

Policy and Guidelines

All university publications and communication, whether oral or written, shall use inclusive language and illustrations. Inclusive language refers to language that makes every attempt to include comprehensively all groups in the community. Whenever possible, selection of academic materials will also reflect efforts to uphold this university policy. Compliance with this policy shall be the responsibility of all faculty and staff.

Sources of Information

The Affirmative Action Office, the Margaret Sloss Women's Center, the Minority Student Affairs Office, the Dean of Students Office, the Office of the Provost, and the Office of the President shall address concerns and supply guidance as requested and appropriate.

Drug Free Workplace

Iowa State University is committed to providing a drug free workplace. Consistent with this commitment, Iowa State University will comply with all federal and state laws, regulations, and orders, including the policies of the Board of Regents, which pertain to providing a drug free workplace.

Policy and Guidelines

- In keeping with the appropriate laws, regulations, and orders, it is unlawful for employees to manufacture, distribute, dispense, possess, or use illegal drugs in the workplace. Violation of this policy will result in appropriate disciplinary action, up to and including dismissal. In addition, an employee who violates this policy may be required to participate in a drug abuse assistance or rehabilitation program.
- Each employee is responsible for abiding by the terms of this policy and for notifying the university of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction. The university will notify the contract or granting agency within 10 days after receiving notice of the criminal drug statute conviction as stated above.
- All employees are expected and required to report to work in an appropriate mental and physical condition to carry out their responsibilities safely and effectively, absent any impairment because of use of controlled substances or

alcohol. Failure to comply by the employee with this expectation may result in serious disciplinary sanctions, up to and including the termination of an individual's employment. In cases in which the university has probable cause to believe an employee's ability to perform duties is impaired due to the use of alcohol or controlled substances, the employee will be confronted and required to undergo testing and/or treatment. Failure to comply by the employee will be the basis for serious disciplinary action.

Sources of Information

The university has established a drug free awareness program to inform employees about the dangers of drug and alcohol abuse in the workplace. Employees are advised as to available substance abuse counseling, rehabilitation programs, and the Employee Assistance Program.

Occupational Safety Policy

Within available resources, it is the policy of Iowa State University to provide and ensure a safe and healthy environment for employees, students, and visiting public and to maintain at all times an effective safety program. It is the intent of this policy to prevent accidents and injuries and to help each member of the Iowa State University community maintain a high standard of safety and health.

Policy and Guidelines

Each person in a supervisory or management capacity is responsible for the provision and maintenance of safe working conditions in his/her respective area and for proper enforcement of all authorized and applicable safety rules and regulations. Each employee and student is personally responsible for complying with safety rules and for using any safety equipment that is provided or required. All safety hazards, accidents, and failures to comply with safety rules shall be reported to supervisory personnel and referred to the appropriate health and safety organization if additional action is necessary.

Sources of Information

The Office of Environmental Health and Safety at Iowa State University will answer specific questions regarding guidelines and compliance issues.

Policy on Smoking

The university recognizes that tobacco smoke is a hazard to the health of its students and employees.

Policy and Guidelines

To protect the health of the non-smoking university community, the university designates all buildings as smoke-free, except for some living areas in university housing. To the extent possible, the University will provide access to cessation programs to help students and employees who presently use tobacco products. All university students and employees are expected to share the responsibility for enforcement of the policy. The following list outlines the smoking policy:

- Smoking is prohibited in university buildings, including offices and hallways and in the outside areas surrounding fresh air intakes. The policy applies to all university buildings on and off the campus with two exceptions:

- Smoking is allowed in designated private rooms or apartments in University housing.
- Smoking is allowed in the Iowa State Center in designated areas during events that are not university-sponsored.

- Within a period of five years from the date of approval of this policy, the director of residence shall have designated small buildings or entire floors of large buildings as smoke-free.

- Smoking is prohibited in vehicles owned or leased by the University.
- Smoking at outdoor events (specifically including those in the stadium) are restricted to designated areas, preferably not in seating or assembly areas.
- The University has recommended to the Iowa State Memorial Union Board of Directors that the Memorial Union be a non-smoking area and to the County Extension Councils that Extension offices be non-smoking areas.
- Visitors to Iowa State University are covered by this policy as temporary members of the University community.

Exceptions: Persons who believe that their situation requires an exception to this policy may request an exemption. Petitions may be addressed to the director of the Office of Environmental Health and Safety. It is expected that exceptions will be primarily for individual living space in University-owned housing during the transition to a non-smoking environment when adequate ventilation for localized smoking is available.

Sources of Information

In situations where individual students or employees are unable to resolve a dispute regarding enforcement of this policy, the departmental executive officer and/or building supervisors will attempt resolution. Problems still unresolved at that level may be referred to the Office of Environmental Health and Safety for assistance and interpretation of the policy, and, if necessary, to higher administrative levels of the university.

Travel Regulations

Travel is an essential requirement of all faculty as the mission of the university is addressed.

Policy and Guidelines

- All absences from the campus during periods of regular employment, whether at university or private expense, require administrative approval. For those whose regular duties normally require in-state travel, the usual procedures requiring a department head's approval on travel vouchers will ordinarily constitute evidence of necessary administrative approval. For those whose regular duties do not normally require in-state travel, requests must be approved by the department head and the dean and/or director.
- University travel is a matter of agreement between the traveler and the

departmental executive officer. Travel expenses may be paid entirely by the university, the traveler, an outside source, or a combination of the three. University-related travel does not include personal vacation travel, leaves of absence, private consulting, or other activities that are not university responsibilities.

- Staff members who expect to engage in projects in another country for more than two weeks should secure approval from the provost before they make their plans. Travel authorization then should be secured at least 30 days before departure is planned.
- Staff members who plan to leave the campus during a period of regular employment should study the travel regulations on file in each departmental office. These regulations indicate the specific procedures to be followed.
- The practice of paying expenses for attendance at professional meetings varies among the colleges and departments according to needs and available funds. Staff members should consult the head or chair of their department.

Sources of Information

Detailed information explaining university travel policies and procedures can be found in Section 9 of the *Iowa State University Office Procedure Guide*. The *Guide* is available on the web and can be accessed through Iowa State's homepage under Policies & Handbooks or from the vice president for business and finance homepage. In addition, bound copies of the *Guide* can be found in all administrative and departmental offices.

Gifts to Faculty

Acceptance of gifts by state employees is regulated by *Iowa Code* §68B.22.

Employees may not receive any non-cash gifts worth more than three dollars or cash gifts of any amount from "restricted donors." Restricted donors are those persons or firms that have or are seeking a contract with the university or otherwise will be affected financially by the performance of the state employee's duties.

Exceptions: The following are the major exceptions to the gift law:

- informational material relevant to the employee's duties
- gifts that are donated within 30 days to charity, to a public body (including the university), or to the Department of General Services
- gifts that are available generally to members of the public and are given regardless of the status of the recipient as a state employee
- the cost of travel, lodging and meals for that portion of a conference to which the employee is invited as an active participant. Remuneration is accepted only for the portion of the time the employee is in travel status because of that active participation
- inheritances and gifts from relatives

Note: Sometimes outside organizations are willing to fund attendance by university employees in conferences or other meetings. Employees are advised that direct receipt of such funds may be improper. This situation can be resolved by the firm's making a grant to the university and a decision by the employee's supervisor that attendance at such a conference or meeting is within the scope of duties of the employee.

Policy Regarding Open Meetings at Iowa State

As a general rule, state law does not require that committee meetings be open to the public. Two exceptions to that rule are the Athletic Council and the advisory board for the Leopold Center. University policy, however, requires that certain committees comply with the university's open meetings policy.

Policy and Guidelines

University councils and committees, with the exception of the Athletic Council and the Leopold Center Advisory Board, are not required by statute to follow the formal procedures of the Iowa Open Meetings Law.

The university, however, does wish to promote the principles of open meetings. If a university council or committee is not listed in the *ISU Directory*, the meetings of that council or committee shall be open to the public unless a majority of the council or committee members present at the meeting vote to close the meeting for matters the council or committee members consider to be confidential.

The following procedures will be followed by each university council and committee listed in the *ISU Directory*.

- An announcement should be submitted to the *Iowa State Daily* to provide to the public at least a one-day notice prior to each meeting. The notice should include the name of the council or committee, a tentative agenda, and the time, date and place of the meeting. In addition, the notice should be provided to ISU's University Relations Office.
- Minutes should be kept of each meeting and should include the date, time, place, members present, and action taken. The minutes should show the results of each vote taken. The minutes need not be exceedingly detailed, but they should make it possible for a reader to ascertain the general subject matter discussed at the meeting and any decisions made. A custodian for the minutes should be designated from the committee membership, and he/she should maintain them in an orderly and up-to-date fashion. The designated custodian must allow anyone to inspect the minutes.
- In the event that a committee or council chooses to exclude the public from a meeting, certain procedures must be strictly observed:
 - Two-thirds of the members of the council or committee, or all of the members present at the meeting, must vote in the affirmative to close the meeting.
 - The vote of each member on the question of holding a closed session must be recorded in the minutes.
 - Detailed minutes of all discussions, persons present, specific reasons for closing the meeting, and all actions occurring at the closed session must be kept; the only matters which must be made public, however, are the reasons for closing the meeting and the vote of each member on whether to close the meeting.
 - Any final action on any matter discussed in the closed session must be taken in an open session unless some provision of the *Iowa Code* or federal or constitutional law expressly requires or permits such action be taken in a closed session.
 - No business may be discussed which does not directly relate to the specific reason announced as justification for the closed session.
- A meeting may be closed, if necessary, for any of the following reasons:

- Confidential Records. Meeting to discuss records which are required or authorized by state or federal law to be kept confidential.
- Letters Patent. Meeting to discuss application for letters patents.
- Discussion with Counsel. Meeting to seek legal advice or to discuss strategy with counsel in matters that are presently in litigation or where litigation is imminent.
- License Examinations. Meeting to discuss the contents of a licensing examination or whether to initiate license disciplinary investigations or proceedings if the council or committee is a licensing or examining board.
- Suspending a Student. Meeting to discuss whether to conduct a hearing to suspend or expel a student, unless an open session is requested by the student, or parent or guardian of the student if the student is a minor.
- Contested Case. Meeting to discuss the decision to be rendered in a contested case conducted according to the provisions of the *Iowa Administrative Procedure Act*.
- Law Enforcement. Meeting to avoid disclosure of specific law enforcement matters, such as current or proposed investigations, inspection or auditing techniques or schedules, which, if disclosed, would enable law violators to avoid detection.
- Law Enforcement. Meeting to avoid disclosure of certain law enforcement matters, such as allowable tolerances or criteria for the selection, prosecution, or settlement of cases, which, if disclosed, would facilitate disregard of requirements imposed by law.
- By Request to Evaluate Professional Competence. Meeting to evaluate the professional competency of an individual whose appointments, hiring, performance or discharge is being considered, when necessary to prevent needless and irreparable injury to that individual's reputation and that individual requests a closed session.
- Real Estate Purchase. Meeting to discuss the purchase of particular real estate, but only where premature disclosure could reasonably be expected to increase the price the university would have to pay for that property. The minutes of a session closed under this paragraph shall be available for public examination when the transaction discussed is completed.

If a university council or committee is not listed in the *ISU Directory*, the meetings of that council or committee shall be open to the public, unless a majority of the council or committee members present at the meeting vote to close the meeting for matters the council or committee members consider to be confidential.

**Employment
Related
Liability**

As a general rule, university employees need not purchase liability insurance to cover those situations where they might be sued in their capacity as an employee. As long as a university employee is acting within the scope of his/her employment and the employee's acts or omissions are not willful or malicious, the state will defend and pay resulting liabilities on behalf of the employee. *Iowa Code* §669.21

**Policy and
Information
References**

- The Iowa State *University Bulletin*, revised every two years, is the university's official source of information concerning curriculum requirements and course offerings as well as information concerning admissions policies, financial aid, and other facts for prospective students. It also contains a listing of all university faculty.
(see <http://www.public.iastate.edu/~catalog>)

- The *Graduate Bulletin* duplicates the information in the *University Bulletin* relevant to the graduate programs and provides more detail concerning Graduate College policies and procedures.

(see <http://www.grad-college.iastate.edu/publications/publications.html>)

- The *Faculty Handbook* provides a description of university structure, function, policies, and procedures. It is revised every year under the supervision of the provost. It is available online and is furnished to each department and to each member of the faculty who requests it.

(see <http://www.iastate.edu/~provost/fs/handbook/99toc.html>)

- The *Office Procedure Guide* is a detailed compilation of policies and procedures to be followed in the handling of university fiscal and personnel matters. Prepared under the supervision of the vice president for business and finance, it is available in all departmental offices. It is designed in a loose-leaf format, and revision pages are distributed annually. It is also online.

(see <http://www.adp.iastate.edu/vpbf/prod/docs/opg/opg.htm>)

- The *Iowa State University Budget* for the current fiscal year is available in the Reserve Room of the Parks Library. It lists all university employees and their salaries by budget unit.

Note: By vote of the Faculty Senate, the budget of each academic department is to be made available for inspection by the faculty of that department. It should include the department's budgetary resources and expenditures by categories, as well as funds received and expended in the preceding year and projected for the current year. The faculty of each department will decide the manner and detail in which the budgets of academic departments are prepared for disclosure and distribution.

- The *Financial Report*, required by law, is a yearly record of the university's receipts and expenditures, prepared under the supervision of the vice president for business and finance and filed in that office.

- The *Iowa Code*, a current collection of the laws of the State of Iowa and published under the direction of the state legislature, is available in the university library and in the office of the vice president for business and finance.

IOWA STATE UNIVERSITY

Faculty Handbook Policies and Procedures Fall 1999

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Computational Support **Computation Center**

Location: 195 Durham Center

Phone: 296-6000

Web site: <http://www.cc.iastate.edu>

Hours: 8 a.m. – 5 p.m. weekdays

Description: The Computation Center provides management and support services for a variety of computing resources for instruction, research, and development. These include a centralized file system of over one terabyte (1000 gigabytes), which provides a vehicle for file sharing within classes or research projects as well as access to files from anywhere on the internet. In addition, the system provides computational capabilities for high-performance computing, visualization, and numeric computation. The Computation Center also supports high-performance (Internet2).

Supported systems include Unix, Macintosh, and Windows. Support for personal computing includes consulting and networking assistance. On campus, more than 2,300 computers in more than 130 labs are available for use. In that mix are Windows and Macintosh personal computers as well as Unix workstations. The computer labs in the Durham Center are open 24 hours a day, 365 days a year, with a wide variety of software and access to laser and color printing.

Services: The Computation Center provides the following services:

- computer supported learning
- disabled user services
- geographic information systems
- high performance computing
- microcomputer product center (sales and service)
- solution center
- test and evaluation services.

(See also individual listings.)

Special Facilities: Computer labs open 24 hours in the Durham Center, some with special equipment for disabled users; video workroom to transfer digital images to tape; slide camera to record 35mm slides from computer-generated images.

Computer Supported Learning

Location: 209 Durham Center

Phone: 294-6663

Hours: 8 a.m. – 5 p.m. weekdays

Description: Computer Supported Learning addresses issues related to computer-based instruction and helps ISU faculty find the most effective ways to use information technology in teaching and learning.

Services: Computer Supported Learning produces computer-based lessons and develops instructional computer applications and computer-based learning environments.

Special Facilities: ClassNet, WebCT

Disabled User Services

Location: 121 Durham Center

Phone: 294-1979

Web site: http://www.public.iastate.edu/~dus_info

Hours: variable

Description: Disabled User Services helps disabled users determine what assistive hardware, software, and techniques will help them with their computing needs.

Services: Disabled User Services provides consulting, instruction, and referrals regarding assistive technology for members of the ISU community who have disabilities related to vision, hearing, movement, or learning. Some assistive software and hardware is available on loan.

Special Facilities: Speech recognition and other assistive software in lab; assistive technology machine with synthesizer, Braille printer, and scanner.

High Performance Computing, Research Computing

Location: 291 Durham Center

Phone: 294-6659

Web site: <http://www.public.iastate.edu/~farm>

Hours: 8 a.m. – 5 p.m. weekdays

Description: High Performance Computing, Research Computing provides support for departments and researchers with computer jobs requiring a large working environment and/or processing time.

Services: This service provides assistance with the following:

- developing, porting, optimizing, and parallelizing scientific codes
- selecting high-performance software
- using supercomputers
- evaluating performance of computing systems
- enabling access to appropriate computing resources

The service manages the Computation Center's high-performance computing equipment.

Special Facilities: An SGI Origin 2000 parallel computer and a cluster of workstations to provide researchers with high-end computing resources.

Microcomputer Product Center–Sales

Location: 191 Durham Center

Phone: 294-8357

Web site: <http://www.mpc.iastate.edu>

Hours: 8 a.m. – 5 p.m. weekdays

Description: The Microcomputer Product Center–Sales area offers a variety of microcomputer hardware and software as well as selected workstations for sale to the ISU community. Consulting support is available. Academic discounts are available to faculty, staff, and students on computers, peripherals, and software.

Services: The MPC-Sales area provides consultants to help clients with selection and configuration options for computers, peripherals, and software.

Special Facilities: Showroom with representative demonstration models; fall computer fair.

Microcomputer Product Center–Service

Location: 74 Durham Center

Phone: 294-2218

Web site: <http://www.cc.iastate.edu/eng>

Hours: 7:30 a.m. – 5 p.m. weekdays

Description: The Microcomputer Product Center–Service area is a resource for faculty, staff, students, and departments who need computer warranty or maintenance work. Besides solving hardware problems with computers and printers, the area also does upgrades. Charges are based on labor and parts.

Services: The MPC-Service area provides maintenance for microcomputers and peripherals. It also provides warranty repairs for several brands and out-of-warranty repairs for most PCs and Macintosh computers. Services also include installing computer upgrades. Check the web page for the most up-to-date information on services and rates.

Special Facilities: On-campus facility for dropping off equipment to be serviced.

Solution Center

Location: 195 Durham Center

Phone: 296-6000

Web site: <http://www.cc.iastate.edu/solution>

Hours: 8 a.m. to 5 p.m. weekdays with extended phone support on evenings and weekends

Description: The Solution Center provides a central resource to answer computing-related questions for any of the supported systems (i.e., Windows, Macintosh, and Unix). A special emphasis is placed on helping users connect to the internet, aiding them with the setup of e-mail, web browsers, and other network applications.

Services: The Solution Center provides the following services:

- phone, walk-in, and e-mail consulting support
- distribution of site-licensed software (e.g., Netscape, Eudora, anti-virus packages)
- short courses
- computer and network supply sales
- online and paper handouts and documents
- bi-monthly newsletter.

Special Facilities: Student Network Access Project (SNAP) team does site visits to help faculty, staff, and students get connected to the campus network.

General Services

Facilities Services

Location: 154 General Services Building

Phone: 294-5100

Web site: <http://www.fpm.iastate.edu>

Hours: Desk open for calls 24-hours a day, seven days a week
For emergencies during off hours, call the ISU Department of Public Safety at 294-3388

Description: Facilities Services is a division of Facilities Planning and Management. Requests for emergency repairs, minor repairs, service, improvements and equipment installation may be phoned in to the Facilities

Service Desk. During the evening, weekend, and holiday hours, the Service Desk uses an automated attendant voice message. Callers have the option of reporting facilities problems needing immediate attention to the ISU Department of Public Safety or of leaving a message for those items not requiring attention until regular business hours.

Submit requests for major repairs or improvements of building, grounds, or utilities, and requests for installation of equipment to the Facilities Planning and Management Department, Work Information Center, 154 General Services Building on a Request for Services form, which is available from Facilities Planning and Management or through the internet homepage.

ISU Card Office

Location: 129 Memorial Union

Phone: 294-2727

Web site: <http://www.adp.iastate.edu/idcard>

Hours: 8 a.m. – 5 p.m (Pictures 8 a.m. – 4:30 p.m.)

Description: The ISU Card Office issues identification cards. The ISU Card verifies your status as an ISU faculty member and carries your university identification number and photo. The card serves as your library card and provides access to university services and facilities such as AccessPlus and the Lied Recreation/Athletic Facility. There is a \$4 fee for all faculty cards.

Services:

- photo identification
- personal identification number (PIN)

Key Services

Location: 108 General Services Building

Phone: 294-4211, FAX 294-4593

Web site: <http://fpm.iastate.edu>

Hours: 7:30 a.m. – 5 p.m.

Description: Key Services maintains key records for the university campus, excluding Ames Lab, Memorial Union and Residence. At the beginning of the school year, Key Services processes over 400 key orders per day. Departments can now order keys through the web page or phone in the order. The keys must be picked up at the General Services Building.

Parking Division (Department of Public Safety)

Location: 27 Armory Building

Phone: 294-3388 - General

294-7918 - Appeals

294-3169 - Enforcement

294-3318 - Reserve/Disability Permits

294-9774 - Vendor/Departmental Permits

294-4444 - Help Van

Web site: http://www.public.iastate.edu/~dps_info/homepage.html

Hours: 24 hours – 7 days a week

Description: The Parking Division of the Department of Public Safety (DPS) oversees the parking regulations on campus and administers the registration process. Staff members must register motor vehicles parked on campus. Upon payment of appropriate fees, faculty members employed on a permanent budgeted appointment will receive parking privileges. Faculty employed on a temporary or nonbudgeted appointment may apply for a temporary general parking permit that is valid for two weeks. Faculty may receive the required permit at the DPS Parking Division, located in the Armory Building.

Regulations covering parking permits are published annually. These regulations have been adopted under the authority granted to the Board of Regents by *Code of Iowa* §262.69 and to Iowa State University by *Iowa Administrative Code* §681-4.32(26). Copies are available at the DPS Parking Division office and at each administrative, service or departmental office.

Staff members who feel they have been unjustly cited for parking violations on campus may file an appeal at the DPS Parking Division office. The Traffic Appeals Board, a group of appointed faculty and staff, hears appeals. Persons not satisfied with the decision of the Traffic Appeals Board may carry the appeal one step further and have the case heard by an administrative hearing officer. Forms and directions for filing appeals are available in the DPS Parking Division Office.

Services:

- issue parking permits
 - general permits
 - temporary permits
 - vendor/departmental permits
 - reserve permits
 - Department of Residence parking permits
 - persons with disability permits
- enforce parking rules and regulations
- hear traffic appeals
- monitor special events parking

Postal and Parcel Services

Location: 184 General Services Building

Phone: 294-7790, FAX 294-0907

Hours: 8 a.m. – 5:30 p.m.

Description: Postal and Parcel Services picks up and delivers the university's campus, US, and international mail and provides many of the services offered by the US Postal Service (services not provided include selling stamps, money orders, and COD collection). Postal and Parcel Services collects outgoing US and international mail, meters it, and dispatches the mail from the mail facility in the General Services Building.

Postal and Parcel Services charges the mailing departments on the basis of established postage accounts. ISU mail instruction cards and postage account bar code labels facilitate the mail facility billing process.

Departments may transfer only official university business papers and packages via Postal and Parcel's campus delivery service. Official business includes mail

dealing with curriculum or official university business between departments, instructors or advisors, and students in residence halls. Postal and Parcel Services also provides AirBorne Express, Emery Worldwide, Federal Express, United Parcel Service, and a special Campus Express delivery service.

Printing Services

Location: Main Plant: Printing and Publications Building, Kooser Drive
Copy Centers: 8 Memorial Union • Hub • 426 College of Design •
10 Ross Hall • 17 Curtiss • W184 Lagomarcino •
4 Physics • 109 Scheman

Phone: Main Plant: 294-3601
Copy Centers: Memorial Union 294-0008 • Hub 294-5218 •
Design 294-9297 • Ross Hall 294-8299 •
Curtiss 294-5217 • Lagomarcino 294-8306 •
Physics 294-1973 • Scheman 294-7691

Web site: <http://web.print.iastate.edu>

Hours: Main Plant: 7:30 a.m. – 5 p.m. (Computer Services: 8 a.m. – 5 p.m.)
Hub: 7 a.m. – 5 p.m. weekdays
Design: Monday–Thursday 8 a.m. – 5 p.m.; 7 – 10 p.m.
Friday 8 a.m. – 5 p.m.
Sunday 2 – 10 p.m.
Memorial Union: 7 a.m. – 7 p.m. weekdays
All other centers: 8 a.m. – 5 p.m. (closed from 11:50 a.m. -
1 p.m.) weekdays

Description: Printing Services provides printing-related functions to faculty members; academic, administrative and support departments; staff-affiliated organizations; and students. They specialize in class materials (syllabus, lecture materials, class notes) and professional presentations and publications. Eight satellite copy centers provide convenient, localized assistance to departments. Obtain a Printing Services user's guide with detailed information and payment options by calling 294-3601 or refer to the web site. If users need assistance planning their publication, customer service representatives are available Monday through Friday.

Services:

- one- and two-color offset printing and related work for brochures, fliers, posters, NCR forms, stationery items, and saddle-stitched and perfect bound booklets
- laminating (including large format), collating, stapling, three-hole punching, binding and folding services. Paper inventories include virgin and recycled papers in a wide variety of colors and weights. For a complimentary stock book call 294-3601.
- digital high-speed equipment (120 pages per minute) providing electronic printing from scanned or digitally stored documents. The equipment has cut and paste, reduction/enlargement, and online finishing capabilities and is accessible through the university ethernet system. For assistance in accessing the network call 294-3601.
- complete addressing and mailing service. Mail lists may be addressed from existing university address files or from departmental computerized files and processed at the main plant. Fact sheets discussing postal automation, database management, and mail piece design are available from Printing Services.

- computer publishing providing walk-in, drop-off, and network access to full electronic pre-press services. High resolution (1200 to 3048 dpi) Postscript imagesetting and photo-quality, color output, individual and group consulting are available.
- assistance with business cards, letterhead, envelopes and related stationery items, and production services for minor revisions to existing publications of any type. Copy-editing and proofreading services also available.
- color output from paper originals or electronic files on networked color copiers available at the Design and Memorial Union Copy Centers. The Design Copy Center offers high quality color printing in sizes up to 3 by 9 feet.

Printing Services also operates as a branch office of the State Printing Division to buy commercial printing for university departments in compliance with the *Iowa Code*. Staff can provide planning, estimating, specification writing, bidding, and production coordination for projects that require commercial printing applications. For assistance call 294-3601.

If connected to the university ethernet network system, you can send digital masters electronically. For information on sending files call Computer Publishing at 4-5384, Copy Centers at 4-7728, or ask for Printing Services 'how to' fact sheet.

Free pick up and delivery are available. Call the Main Plant at 294-3601 and Copy Centers at 294-7072.

Purchasing Services

Location: 3616 Administrative Services Building (First Floor)

Phone: 294-4860

Web site: <http://www.public.iastate.edu/~purchasing/homepage.html>

Hours: 8 a.m. – 5 p.m. weekdays

Description: The Purchasing Department provides procurement services for the teaching, research, outreach, and administrative activities of the university. Because Purchasing is charged with maintaining the public trust and handling procurement activities ethically and in compliance with state laws, federal regulations, Regent, and university policies, buyers should contact this office before committing funds to outside vendors. Purchasing uses procedures that ensure goods and services are obtained, where appropriate, through the use of open specifications and competitive bidding, with awards based on criteria stated in bid documents.

The following methods of specific delegated procurement authority exist:

- Payment Authorization Vouchers (\$1,000)
- Purchasing Card (up to \$2,000 per transaction)
- departmental direct entry of purchase orders up to \$2,000

Purchasing offers training to assist departments in determining the appropriate use of delegated procurement authority.

Services: Purchasing adds value and provides services, including the following:

- procuring equipment, supplies, and services, consistent with requesting departments' quality, quantity, and delivery requirements
- preparing of functional bid specifications, providing open competition
- assisting in bid evaluations

- working to obtain the best value/maximizing departmental resources
- responding to vendor inquiries/preventing vendor challenges
- reviewing terms and conditions in vendor agreements
- negotiating acceptable terms for legally binding agreements
- resolving breach of contract situations and negotiating settlements
- maintaining sources of supply/monitoring market conditions
- expediting past due orders

Instructional Support **Center for Teaching Excellence**

Location: 204 Lab of Mechanics

Phone: 294-2906

Web site: <http://www.cte.iastate.edu>

Hours: 8 a.m. – 5 p.m. weekdays

Description: The Center for Teaching Excellence (CTE) reflects Iowa State University's commitment to educational excellence. CTE promotes an environment which honors and facilitates learning as a primary function of the university and the practice of teaching as a scholarly pursuit. Within this mission are incorporated the goals of mobilizing resources that facilitate learner outcomes; fostering communities of faculty, students, and staff to support teaching and learning; and facilitating the recognition of effective teaching at local and national levels. The web site is updated frequently and is a vast source of information about teaching and learning as well as a searchable directory to our library.

Services: To achieve these goals, the Center for Teaching Excellence provides the following services:

- collecting and disseminating information about pedagogy through its library, web site, newsletter, and by subsidizing subscriptions to *The Teaching Professor*
- conducting workshops and seminars for faculty, staff, and teaching assistants to share information and methods about learner-centered teaching, active learning, teaching as community property, educational technology, and the scholarship of teaching
- funding and administering various grants for pedagogical research, development of curricula and teaching materials, and attendance at conferences related to higher education
- providing information about both on-campus and off-campus funding sources for research related to higher education
- promoting the recognition of teaching achievement through its participation in both on-campus and national awards for teaching excellence
- collaborating with Academic Affairs, Student Affairs, and the eight ISU academic colleges to develop and implement programs that promote teaching and learning
- sponsoring speakers and events on campus which bring faculty and staff together to engage in open and lively discussions about teaching and learning
- participating in individual, confidential consultations with faculty who want to improve or add to their teaching skills
- awarding two CTE Teaching Faculty Fellowships to faculty members each academic year so that they can pursue research and programming related to teaching and learning
- promoting and participating in a network of people, both on campus and nationally, who share information and form a community of scholars and practitioners

Instructional Technology Center

Location: 1200 Communications Building

Phone: 294-8022 or 294-2316; FAX 294-8089

Web site: <http://www.itc.iastate.edu>

Hours: ITC Office: 8 a.m. - 5 p.m. weekdays (closed from 11:50 a.m. to 1 p.m.)

ITC Telephone Service: 8 a.m. – 5 p.m. weekdays

ITC Classroom Services: 7:30 a.m. – 5 p.m. weekdays

ITC Night Media Service: 5 – 9 p.m. Monday-Thursday (294-8022)

Description: The Instructional Technology Center (ITC) is a support service organization whose primary mission is to assist faculty and staff in improving the quality and effectiveness of their instructional efforts. ITC instructional design and production specialists collaborate with faculty members to systematically develop learning units and course materials for large-group, small-group, and individualized instruction. Other ITC specialists provide a wide range of media equipment, video systems, graphic materials, videotapes, and other instructional technologies for use in classroom presentations.

As a major unit within the Provost's Office, the staff of the ITC provides a wide range of instructional services in direct support of classroom instruction on a non-charge basis (except for materials). Services to other ISU campus agencies and non-academic units are available for a fee. Descriptions and rates for these services can be found in brochures available from the ITC.

Services: The ITC classroom, creative, and instructional development services available are as follows:

- technology consultations, seminars, and workshops
- instructional development and design
- multimedia development and production
- media materials library
- recording and projection services
- media equipment services/specifications
- computer graphics and electronic imaging services
- publications design and layout
- videotape duplication and sales
- satellite downlinking
- media and television production
- distance education support and uplink services
- videoconferencing services
- technology facilities design and installation
- instructional web site development
- web course management/development

Special Facilities:

- HDTV studios
- technology enhanced classrooms
- ICN classrooms
- media production systems
- satellite downlink and uplink capabilities
- technology self-help workstations

Test and Evaluation Services

Location: 114 Durham Center

Phone: 294-1832

Web site: <http://www.public.iastate.edu/~tes>

Hours: 8 a.m. – 5 p.m. weekdays (closed from 11:50 a.m. to 1 p.m.)

Description: Test and Evaluation Services offers test scoring and analysis services to the ISU faculty. It uses preprinted answer sheet forms, which can be scored and analyzed, with an item analysis and class listing returned to the instructor.

Services: Test and Evaluation Services provides the following:

- test scoring and computer analysis of classroom tests
- computer-assisted test assembly and test-item banking
- within-class recordkeeping
- computer analysis of course evaluations
- consultation and evaluation services.
- processing and analysis of data from optical mark sheets for surveys or research data collection.

Library Services

University Library

Location: Parks Library, central campus

Phone: 294-3642

Web site: <http://www.lib.iastate.edu>

Hours: call 294-4849

Description: The University Library provides a wide array of print, non-print, and electronic information resources, which are housed in the main Parks Library, the Veterinary Medical Library and four subject-oriented reading rooms (design, economics and sociology, mathematics, and physical sciences). The Library's extensive collections support research and study for all ISU graduate programs, with the strongest support at the Ph.D. level. These collections are nationally recognized for their strengths in the basic and applied fields of biological and physical sciences. Library holdings include 2,125,000 volumes and 22,000 serial subscriptions.

The Library encourages use of its collections and many services, and assistance is provided at the following ten public service desks:

- reference desk
- reserve desk
- interlibrary loan
- circulation desk
- periodical and newspaper room
- microforms center
- media center
- special collections
- map room
- document delivery/photoduplication

In addition, instruction in the use of library resources is offered to graduate and undergraduate students.

SCHOLAR, the Library's online information system, provides access to the local online catalog, which contains records for most of the book collection and all cataloged serials; several indexing and abstracting databases; and other selected university library catalogs. Additional indexing and abstracting databases and a variety of internet resources are available through the Library's world wide web homepage, which is accessible through many specialized SCHOLAR research workstations in the library and through the internet using Netscape. In addition, more electronic resources are available in the library by using individual computer workstations and commercial information services. Assistance in using this vast body of electronic resources is available at the Reference Desk and through individually-arranged appointments with reference librarians.

Special Facilities: The Parks Library has a limited number of research study rooms available for faculty, graduate students, and professional and scientific staff. They are intended for research and other scholarly activities that require extensive use of library material. Normally assignments are made for a semester at a time.

Museums **University Museums**

Location: Brunnier Art Museum, 290 Scheman Building
Farm House Museum, Knoll Road
Art on Campus Tours, self-guided brochure available

Phone: 294-3342

Web site: <http://www.museums.iastate.edu>

Hours: Brunnier: 11 a.m. – 4 p.m. Tuesday-Friday
5 p.m. – 9 p.m. Thursday
1 p.m. – 4 p.m. Saturday and Sunday
Farm House: 12 noon – 4 p.m. Monday-Friday
1 p.m. – 4 p.m. Sunday
Art on Campus Tours: 8 a.m. – 5 p.m. Monday-Friday (groups)

Description: University Museums administers the Brunnier Art Museum, the Farm House Museum, and the Art on Campus Collection at Iowa State University.

The Brunnier Art Museum, located on the second floor of the Scheman Building, is a nationally accredited decorative and fine arts museum. Changing exhibitions range from historically significant decorative arts to contemporary fine arts. Major collections at the Brunnier include ceramics, porcelain, glass, Russian enamels, carved jade and ivory, and dolls. The museum sponsors more than 150 public programs each year, including artist and faculty lectures and music, dance and theater performances. A museum store at the entrance to the Brunnier Art Museum sells gift items related to the collections.

The Farm House Museum, a National Historic Landmark, was the first building on the university campus. Originally built as a home for farm superintendents, the house has been restored to the turn-of-the-century style. Exhibits of Victorian furniture and other museum-quality home furnishings including tableware, quilts, and Oriental carpets are displayed in authentic settings. Special holiday programs are scheduled during December, and other family events are held throughout the year.

The Art on Campus Collection encompasses 200 major indoor and outdoor public works of art exhibited throughout the Iowa State campus. Wednesday Walks, 40-minute guided tours of select campus art, are scheduled at noon. A brochure containing information about the art, the artists, locations, and viewing hours is available for self-guided tours. Special guided tours for groups also are available.

Recreation Veenker Memorial Golf Course

Location: Golf Course, Stange Road

Phone: 294-6727, FAX 294-2406

Web site: <http://fpm.iastate.edu/veenker>

Hours: 7 a.m. – sunset daily

Description: Veenker Memorial Golf Course is operated and maintained by Facilities Planning and Management. The clubhouse and 18-hole golf course are operated as a teaching and research facility, serving the needs of the university golf program and the community. A Golf A Pro is on staff for those interested in golf lessons.

**Research
Facilities
and
Services**

ISU Instrumentation Facilities for Biotechnology Research

Location/Phone:

Animal Gene Transfer Facility, 1270 Kildee Hall	294-4252 or	294-5541
Bessey Microscopy Facility, 1 Bessey Hall		294-3872
Cell and Hybridoma Facility, 1104 Molecular Biology		294-2472
Chemical Instrumentation Facility, 1761 Gilman		294-5958
Confocal Microscope Facility, 1082 Veterinary Medicine		294-1011
DNA Facility, 1184 Molecular Biology Building		294-1813
Fermentation Facility, 1621 Food Sciences Building		294-0306
Grain Quality Laboratory, 1547 Food Sciences Building		294-5387
Image Analysis Facility, 1082 Veterinary Medicine		294-1011
Molecular Modeling Facility, 122 Molecular Biology		294-7103
Nuclear Magnetic Resonance Facility, 208 Molecular Biology Building		294-8540
Plant Transformation Facility, B423 Agronomy		294-4429
Protein Facility, 1182 Molecular Biology Building		294-3267

Web site: <http://www.biotech.iastate.edu/publications/Research1999/tablecontents.html#facilities>

Description: The Iowa State University Instrumentation Facilities for Biotechnology Research, a major university initiative supporting state-of-the-art instrumentation for biotechnology research, are open to faculty and students. For general information about these facilities, please contact the Office of Biotechnology, 1210 Molecular Biology Building (294-9818). Specific questions about each facility should be directed to the address/phone number as listed.

Geographic Information Systems Facility (GIS)

Location: 218 Durham Center

Phone: 294-0526 (manager)
294-2279 (GIS specialist)
294-8451 (lab)

Web site: <http://www.gis.iastate.edu>

Hours: 8 a.m. – 5 p.m. weekdays

Description: The Geographic Information System (GIS) Support and Research Facility was established to support the use of GIS in research and education. The facility provides tools for the development, management, and analysis of digital spatial data bases.

Services: GIS provides hardware and software platforms and technical services for researchers to use for GIS-related projects. It also provides support and periodic training for GIS software products.

Special Facilities: Ten Unix workstations and nine NT workstations; variety of input and output devices.

Office of Sponsored Programs (OSP)

Location: 221 Beardshear Hall

Phone: 294-4566

Web site: <http://grants-svr.admin.iastate.edu>

Hours: 8 a.m. – 5 p.m. weekdays

Description/Services: The Office of Sponsored Programs (OSP) provides assistance to faculty, staff, and graduate students from all colleges at ISU in locating extramural funding sources for research and educational development. Budget preparation assistance is available in the Contracts and Grants Office. There is no charge for any of these services.

OSP offers funding sources and information at its web site. Included is a Community of Science Expertise Database, where faculty can add their profile and receive weekly funding alerts. Also available is a searchable Funding Opportunities Database with over 15,000 programs. The OSP maintains a Funding Information Library with directories and resource material for both public and private funding and publishes current funding opportunities in a section entitled “Research” in *Inside Iowa State*.

Statistical Laboratory

Location/Phone:

Statistical Laboratory, Main Office, 102 Snedecor Hall, 294-3440

Survey Section, 219 Snedecor Hall, 294-9773

Statistical Computing Section, 117 Snedecor Hall, 294-2260

Web site: <http://www.public.iastate.edu/~stat>

<http://www.statlab.iastate.edu/survey/survey.html>

<http://www.public.iastate.edu/~stat/computing/statcom.html>

Hours: 8 a.m. – 5 p.m. weekdays

Description: The Iowa State Statistical Laboratory, an all-university institute, offers statistical research services to all faculty members. Consultations without charge may be arranged through its general office on the first floor of Snedecor Hall.

As resources permit, joint research in applied areas can be arranged. The Iowa Agriculture and Home Economics Experiment Station provides financial support to permit certain staff members in the laboratory to engage in more extensive consulting on statistical problems in the biological and agricultural sciences. Specialists are available for consultation on the statistical aspects of the social, physical, and biological sciences, and of engineering. The operational aspects of surveys, statistical numerical analysis, and data processing are also covered. When university departments cooperate on large contractual (off-campus) projects, budgetary arrangements should include funds for professional statistical services when required.

Services: *Survey Section:* The Survey Section of the Statistical Laboratory provides services to the campus on all aspects of sampling, surveys, and census-type studies. The services available are useful in many aspects of scientific and industrial research, such as the design of surveys, drawing of samples, construction of questionnaires, training and supervision of field workers, collection of data by personal interview and mail questionnaires, coding of data for computer processing, analysis of data. Charges are made for operational services.

Statistical Computing: The Statistical Computing Section of the laboratory provides consultation on statistically oriented computer techniques, computer programming, and processing of statistical data requiring the services of an analyst-programmer. The objective of the section is to assist staff and graduate students with their computational problems in areas that make use of statistics as a primary research tool. On such problems, the Statistical Computing Section functions as a liaison between the research workers and the computers.

Student Services

AccessPlus

Location: Beardshear Hall
Carver Hall
College of Design
Lied Recreation Athletic Center
Lagomarcino Hall
LeBaron Hall
Memorial Union
Parks Library
Ross Hall
Veterinary Medicine
world wide web

Web site: <http://www.adp.iastate.edu/accessplus.html>

Description: AccessPlus is Iowa State University's electronic key to accessing personal information in a secure environment. AccessPlus is available through the web and is also available on AccessPlus kiosks across campus.

Students may use AccessPlus for the following purposes:

- to register for classes
- to view information such as unofficial transcript, class schedule, university bill, financial aid status, on and off campus jobs, and residence hall information
- to update mailing addresses

Advisers may use AccessPlus to view the information for their own advisees, including class schedules, student information, unofficial transcripts, and photos. Faculty and staff may also use AccessPlus to access employee status information and update address information.

Information on AccessPlus is kept confidential. A social security number and university PIN are required to view personal or advisee information.

Student Employment Center (SEC)

Location: Office of Student Financial Aid (OSFA), Beardshear Hall, Room 7

Phone: 294-2223

294-JOBS

800-478-2998, FAX 294-0851, sfajobs@iastate.edu

Web site: http://iastate.edu/~fin_aid_info/JobBoard.html

Hours: 8 a.m. – 5 p.m. weekdays, 9 a.m. – 12 noon Saturday

Description: The Student Employment Center (SEC) in the OSFA provides advice and assistance to faculty for the placement of student employees. Student employees are designated either work-study students or non-work-study students. Work-study students' work activities and pay rate are subject to federal regulatory procedures. The SEC also is a referral agency for a student grievance related to employment practices. Employers may post a notice of vacancy with the SEC through the web site.

Travel

ISU Flight Services

Location: Ames Municipal Airport

Phone: 294-0318, FAX 232-1215

Web site: <http://www.fpm.iastate.edu/flightservice/>

Description: ISU Flight Services provides university aircraft for both out-of-state and in-state travel to all personnel traveling on university or state business. Flight Services offers ten-passenger jet prop service or five-passenger pressurized cabin aircraft service. ISU Flight Services flies to any airport served by airlines in the continental United States as well as to thousands of airports used by general aviation aircraft. Large cities such as Chicago and St. Louis offer a selection of municipal airports. Experienced, professional pilots supply customized air transportation. They fly twin engine airplanes equipped and maintained to airline and charter service standards.

Flight Services can save you many hours of waiting at the airport by service to cities within 1.5 hours flying radius of Ames such as International Falls, MN; Grand Rapids, MI; Indianapolis, IN; Fayetteville, AR; Tulsa, OK; Dodge City, KS; North Platte, NE; Rapids City, SD; and Bismarck, ND.

Transportation Services

Location: Haber Road

Phone: Dispatch 294-1882

Manager 294-3414

Hours: 7:30 a.m. – 5 p.m. weekdays

Description: Transportation Services serves the university community as the in-house vehicle rental agency for faculty and staff conducting university business. Vehicles are available for half-day, daily, weekly, monthly, or yearly lease and include sedans; mini-vans; 9, 12, and 15-passenger vans; small and one-ton pickups; and cargo vans. Large vehicles or specialty units are limited in numbers and are usually rented to departments on a permanent basis.

Services: Faculty and staff members may call the Transportation Services dispatcher (4-1882) to make reservations or ask questions. In-state reservations require the use of either an established standing order account or an Intramural Purchase Order. An Intramural Purchase Order is required for all out-of-state travel. Send Intramural Purchase Orders to Transportation Services at least five working days before departure.

Special Facilities: A wheelchair-accessible mini-van is available.

Travel to Des Moines International Airport

Location: See Services below

Phone: See Services below

Web site: See Description below

Hours: See Services below

Description: When faculty and staff travel on university business, they can be reimbursed for commuter bus fare or for mileage from the campus to the airport (84 miles roundtrip), and upon submission of a parking receipt, for parking. For travelers electing to drive, three parking lots are available at the Des Moines International Airport. These are the following:

- short term (lower level of parking garage)
- long term (east of cargo area)
- economy parking (east side of Fleur Drive)

For a map of Des Moines International Airport parking, refer to their web site at <http://www.dsmaairport.com/parking/map.htm>. An alternate lot operated by Keck Parking, Inc. is across the street from the airport and charges a lower daily rate if the traveller presents an ISU identification. The airport provides direct shuttle service from both lots to the terminal building. When travelers are not able to leave their personal vehicles at the airport, or the length of time makes parking fees a substantial cost, reimbursement will be allowed for two roundtrips from Ames to the Des Moines airport. For additional information refer to the *University Office Procedure Guide* under the Travel Policies section or contact the Purchasing Department.

Services:

Limo Service:

- Out of Town Limo–2804 East Broadway, Des Moines, (515)266-4469, Hours: 8 a.m. – 5 p.m.
- Classic Carriage Limousine Service–1712 E. Lincoln Way, Ames, 232-6304, Hours: 8 a.m. – 5 p.m.

Motor Coach Service:

- Midwest Coaches, Inc–1501 East Lincoln Way, Ames, 232-7270, Hours: 8 a.m – 5 p.m.

Parking:

- Des Moines International Airport–5800 Fleur Drive #201, Des Moines, (515)256-5056, Hours: 24-hour operation.

- Keck parking–5555 Fleur Drive, Des Moines, (515) 287-3036, Hours: 24-hour operation.

Rental Cars – Ames:

- ISU Transportation Services – Haber Road, Ames, 294-1882, Hours: 7:30 a.m. – 4:30 p.m.
- Enterprise Rent A Car–303 E. Lincoln Way, Ames, 233-5200, Hours: 8 a.m. – 6 p.m.

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

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Introduction Faculty members need to be informed of the opportunities for career development and of the forms of recognition available to celebrate their accomplishments. The following information highlights the role played by faculty groups, notably the Faculty Senate and academic departments, in this process of development and recognition and explains the criteria and procedures employed in making relevant decisions.

Honorary Degrees

Description

Iowa State University awards honorary degrees to celebrate and honor careers of extraordinary achievement in the community of knowledge, understanding, and creativity of which it is a part. In conferring an honorary degree, Iowa State University associates itself with the highest achievements in scholarship, research, and creative activity consistent with its educational mission. It expresses the ideals of a great university by designating models of exceptional merit for emulation and respect.

Eligibility

An honorary degree is not awarded for philanthropic activity or service to the university or the State of Iowa. A candidate's qualifications must be deeply grounded in a career of scholarship, research, and creative activity consistent with the academic endeavors of the university. The following criteria apply for a candidate's eligibility:

- Neither active nor retired faculty of Iowa State University are eligible for candidacy.
- Those who have left Iowa State and have established a career in another setting would be considered eligible five years after leaving this institution.
- Holders of elective or appointive public offices are not eligible for consideration until five years or more after they have vacated office.

Policies for the Selection Process

- An honorary degree will be awarded only in exceptional circumstances. Awarding this degree need not be considered an annual occurrence.
- The committee will receive nominations only from members of the faculty. A nomination may originate from an individual faculty member, from an academic unit, or from the collaborative efforts of the faculties of two or more departments.
- A nomination that comes to the committee from a source other than the academic discipline with which the candidate is associated should be reviewed by the faculty of the appropriate academic unit before it is included in a recommendation forwarded to the president.

Note: Each nomination will be handled with discretion and confidentiality.

Criteria for the Selection of a Candidate

- The primary criterion for the selection of a candidate is a career of superlative intellectual and/or creative activity.

- Attention must be given to calendar, nomination procedures, and documentation of a candidate's qualifications.
- Special emphasis should be placed on securing nominations for female and minority candidates.

Procedures for the Selection of a Candidate

The following are procedures for the selection process:

1. A committee of the Faculty Senate, the Committee for the Awarding of Honorary Degrees, shall be chaired by a faculty member. It will be responsible for inviting and reviewing all nominations and making written recommendations. The committee will report in confidence its recommendations to the Executive Board of the Faculty Senate and the board will make its recommendations to the university president.
2. The committee will announce its procedures and its timetable for receiving nominations from the faculty in a timely manner.
3. In the event that the university president does not accept a recommendation for an honorary degree from the Executive Board, the president will communicate the reasons for not doing so to the Executive Board in a timely manner.

Note: The committee should avoid involving the university in partisan politics.

The following guidelines will apply in awarding honorary degrees:

- Ordinarily an honorary degree is awarded at commencement ceremonies.
- Normally an honorary degree will not be awarded in absentia.
- The president of the university extends the invitations to those selected to receive an honorary degree.
- Insofar as possible, the recipient of an honorary degree will interact with faculty and students in the field or area of interest while the recipient is visiting the campus.

Distinguished Professor Description

The Distinguished Professor distinction is awarded for service of extraordinary benefit to Iowa State University. Exemplary performance is required in at least two of the following areas:

- teaching and advising
- research, scholarship, or artistic creativity
- extension, university service or professional practice

Eligibility

Nominees should hold the rank of professor and should have served for at least five years on the Iowa State University faculty.

Procedures for the Selection Process

1. Nomination committees are appointed by the dean of each college.
2. Each committee receives nominations from the faculty of that college and recommends nominees to the dean, who then submits his/her recommendations to the provost.
3. The final selection of distinguished professors is made by the president and the provost.

University Professor

Description

The University Professorship recognizes faculty members who have had a significant impact on their department(s) and the university in the course of their career at Iowa State University. In addition to outstanding performance in at least one of the three areas of teaching, research, and professional service, a University Professor must have acted as a change-agent to improve the quality with which the university carries out its mission.

Examples of such activities may include, but are not limited to, the following:

- demonstrating a deep and ongoing commitment to the growth and development of students
- playing an extraordinary role in policy development
- having been influential in curricular change
- having instituted new programs
- having pioneered in the use of instructional technology
- having played other significant academic leadership roles

Note: Above all, to be designated as a University Professor, a faculty member must be an outstanding university citizen.

A limited number of University Professors will be named each year. The persons so named will receive a permanent increase in base salary. Appointment to the position of University Professor ordinarily will be continuous, with the exception that a person subsequently named a Distinguished Professor or to an endowed chair must relinquish the title of University Professor. Upon retirement, a University Professor will be designated University Professor Emeritus.

Eligibility

The following faculty members are eligible for this award:

- This recognition is for faculty who are presently tenured and who have served Iowa State University as an instructor or in a higher rank for at least 20 years prior to the beginning of the current academic year and who presently hold the rank of professor.
- Faculty who have served as administrators (e.g., department executive officers, deans, vice presidents or provost, or staff members in those offices) may be nominated only if they have been out of their administrative roles and functioning as faculty members for at least three years.

- Ordinarily the nominees would be individuals whose contributions extend well beyond a one-time impact.

Having held an administrative position in and of itself is insufficient for consideration for this award. Faculty members holding other titled professorships or endowed chairs are not eligible for this award.

Procedures for the Selection Process

The following are the procedures for the selection process:

1. Departments, colleges, or individual faculty members may make nominations for one or more persons using the above criteria. Nominations should be made to the appropriate college awards committee.
2. Each college awards committee will forward, in rank order, eleven copies of each nomination to the Faculty Senate Committee on Professional Development.
 - Each college may make one nomination, plus one additional nomination for each 100 faculty members.
 - No nominations will be allowed for fractions of 100 faculty.
 - Based on figures for tenured and tenure-track faculty members from Fall 1997, the following numbers of nominations are allowed:

Agriculture 3
Business 1
Design 1
Education 1
Engineering 3
Family & Consumer Sciences 1
Liberal Arts & Sciences 6
Library 1
Veterinary Medicine 1

Dossier

The dossier of each nominee should include the following:

- nominator's recommendation after securing advisory judgment from the departmental faculty. (The DEO may serve as nominator on behalf of the department.) The written statement from the nominator should be no more than five pages in length and should highlight the nominee's accomplishments in teaching, research, and professional service.
- comments from faculty outside the nominee's department(s) who can provide a critical evaluation of her/his contributions to the university
- a complete curriculum vita and information on the budgeted time of the nominee during the most recent five years

Emeritus Professor

Approved by Faculty Senate (5/7/91)

Description

The emeritus designation is a recognition of service to Iowa State University. The privileges enjoyed by emeritus faculty include the following:

- being listed by title in the *University Bulletin*
- being maintained on university mailing lists
- being afforded regular faculty privileges with respect to all events, activities, and services sponsored or provided by the university
- being provided limited office space when such space is available

Eligibility

The following faculty are eligible for this award:

- A tenured faculty member who has attained the rank of professor and who retires immediately following ten or more continuous years of employment by Iowa State University, upon such retirement, automatically will be given emeritus designation at the rank of professor.
- Retired faculty members who do not meet the above criteria but who have distinguished themselves through meritorious service to the university and the profession also may receive the emeritus designation at the last rank held. These nominations must be initiated by the faculty of the individual's department(s) and approved by the college and the Academic Council of the university.
- Persons retiring from administrative duties, at the discretion of the president, may retain their administrative title with emeritus designation added. A president, upon retirement, may be given the title "president emeritus" by the Board of Regents, State of Iowa.

Development Policies

Study Opportunities

Full-time academic or non-academic employees are permitted to carry university instructional work in addition to their regular duties, subject to the approval of their departmental executive officer(s) and dean(s), up to a maximum of 15 credits per calendar year, normally not to exceed six credits per semester and three credits per summer session. Employees will be expected to pay full tuition and fees for all course work taken.

Faculty may enroll in course work when they are not on duty and not receiving salary from the university (for example, during the summer session). Faculty above the rank of assistant professor ordinarily may not become candidates for a degree from this institution, except upon recommendation of the vice provost for research and advanced studies and approval of the provost.

Visiting Classes

Faculty members who wish to visit university classes informally on a no-credit basis rather than enroll as auditors should confer with the instructor in charge.

Professional Development Assignments (formerly Faculty Improvement Leave)

Approved by Faculty Senate (3/16/90)

Description. The university recognizes that significant opportunities for professional growth and development are required periodically by faculty members and that the Professional Development Assignments (PDA) Program is one of the best modes to achieve such growth and development. The university strives to promote an environment in which the faculty will be motivated to participate enthusiastically in the PDA Program. This environment permits both the faculty and administration to plan so as to obtain the desired results from the program. Foreign Exchange Program leaves will be handled administratively and will not be included as part of the PDA Program.

Procedures for the Selection Process. All members of the faculty employed half-time or more are eligible to apply for PDAs. No arbitrary restriction applies on length of service to qualify for a PDA. However, when ranking proposals of equal merit, priority may be given to tenured faculty over adjunct and non-tenured faculty, and priority is given to persons who have not received a PDA in the past five years.

1. Early in the fall semester, the applicant submits a request for a PDA to the department executive officer (DEO) for departmental review, often by a committee.
2. The request is sent, with its priority rating, to the dean for review by the PDA committee of the faculty member's college. In some cases, the dean may approve the assignment for college funding and forward it directly to the provost for final action. In other cases, the request is forwarded with its priority rating to the Faculty Senate Committee on Professional Development, which presents its recommendation to the provost. In either case, all recommendations must be approved by the president and by the Board of Regents.
3. Announcements of assignments granted for the following academic year are made at the beginning of the spring semester.

Evaluation Criteria. The criteria used to evaluate PDA applications include:

- determination of the extent to which the assignment will enhance the future performance of the individual's duties as a faculty member
- a clear indication that the assignment sought in a period of leave will benefit the department and the institution
- a clear understanding that granting the assignment is an investment in the future of the faculty member and of the department, and is not intended as a reward for past performance
- length of time since the most recent previous PDA (a minimum of two years must have passed from completion of the previous PDA)
- evidence of productive use of any previous PDA
- evidence of the proposer's record of scholarly or creative activity

Location of Leave. Applicants for PDAs are strongly encouraged to choose off-campus locations for their leaves. The environment into which a faculty member goes when on a PDA should be conducive to professional development and/or cultural enrichment.

When the proposed activity involves collaborators, evidence of their interest and enthusiasm is helpful. Similarly, invitations or endorsements from off-campus hosts should be included. If the proposed work is to be accomplished at Iowa State University, however, the applicant should make a strong case that Ames is either an ideal or at least an appropriate place for the effort. In all cases, justification for the proposed site is required in the grant application.

PDA's may be used for a number of purposes, including the following:

- conduct research and scholarship. This purpose may involve work impossible to perform at Iowa State University or difficult to perform in conjunction with one's on-campus responsibilities. Many faculty members find that their normal duties prevent them from giving sufficient attention to an ongoing research, scholarly, or creative project. Others may have accumulated substantial amounts of data or other materials and now need time to sort through, analyze, and prepare the results of their earlier work for publication.
- obtain new or specialized training. Faculty members may find it desirable to take the time to familiarize themselves with new methods in their major fields of interest, to collaborate with others, or to retool by switching emphases. In such cases, the faculty member presumably will apply these techniques to work on campus and/or use them in teaching students.
- participate in an international program. Because the funding for international programs such as Fulbrights is seldom sufficient to cover the costs involved, faculty interested in participating may wish to combine such activities with a PDA.

Salary and Benefits. Faculty on PDA will be paid up to six months' salary. The salary of persons on assignment for more than six months will be prorated across the total period of the assignment. Regardless of the length of the assignment, the university will continue to make its full contribution to the various employee benefit programs in which the individual is enrolled. State law requires that a recipient of a PDA return to the university for a period of twice the length of the assignment or repay the state the compensation received during the assignment.

Length of Assignment. A PDA may be for no longer than 12 months. When assignment dates do not conform to the beginning or ending dates of a semester, a separate justification/approval memo outlining how teaching responsibilities will be covered during that fraction of time will be required of the DEO(s) via the dean(s). This memo should accompany the PDA application. Persons on B-base appointment are not eligible for assignments that include all or part of the summer session, but may include the summer period in their assignment on an unpaid basis.

Big XII Faculty Fellowship Program

The Big XII Faculty Fellowship Program offers faculty the opportunity to travel throughout the academic year to member institutions to exchange ideas and research. Guidelines for preparing and submitting proposals are available on the web at http://www.public.iastate.edu/~provost/fs/big12_1.html.

Internship and Fellowship Programs

Description. The university supports the concept of administrative internships and fellowships for faculty because these can be relevant experiences for faculty members' professional development. The following policies apply to such programs:

- The university will continue to encourage faculty professional development by making timely university-wide announcements of internal and external internship and fellowship opportunities.
- Such announcements will include information about internships available in the various ISU administrative offices and colleges, the ACE Fellows Program, the Kellogg National Fellowship Program, and other similar programs.
- No central funding will be available for the Kellogg National Fellowship Program or the ACE Fellows Program, and all such expenses will be covered by the respective college/administrative offices.
- The university and individual colleges will maintain commitment to providing internal administrative internships in the various ISU administrative offices.

Selection Process. Nominations for external internship/fellowship programs will be initiated at the departmental level by the DEO, forwarded to the dean, and, if approved, forwarded to the provost. The following policies apply:

- Nominations/applications for the internal internship programs will be administered consistent with the individual college policies and procedures related to the internship position.
- The preferred title will be "Administrative Intern to the _____" instead of "Assistant to the _____" or "Assistant _____."
- There will be no administrative increment awarded to those individuals appointed to the internal internship programs. Salaries are to be paid by the respective administrative units, with reimbursement for necessary replacement to be negotiated with the employing office.

Study in a Second Discipline

The program, Study in a Second Discipline, offers faculty members an opportunity to extend their scholarship through study in a separate field for one academic semester. The program is sponsored by the provost, and guidelines for preparing and submitting proposals are available on the web at http://www.public.iastate.edu/~provost/fs/second_1.html.

Instructional Development Grants

The university provides support for projects to improve instruction. Grants are awarded annually on a competitive basis. Proposals are due in college offices in early March and grants are announced in May for projects to take place the following academic year. Guidelines for preparing and submitting proposals are available on the web at <http://teach.admin.iastate.edu/CTE>, or from the Center for Teaching Excellence (204 Lab of Mechanics, 294-2906).

Miller Faculty Fellowships

Miller Faculty Fellowships, supported by an endowment, are awarded annually to fund faculty development proposals that advance the university's Strategic Plan. The program is administered by the Office of the Provost and the Center for Teaching Excellence, and guidelines for preparing and submitting proposals are available on the web at <http://www.cte.iastate.edu/miller.html>.

International Faculty Exchange Program

Description. Opportunities for professional growth and development are available to faculty members through the International Faculty Exchange (IFE) Program, through which faculty members may participate in exchanges with foreign universities with which Iowa State has formal exchange agreements.

Eligibility. All members of the faculty employed half-time or more are eligible to apply for IFE. There is no arbitrary period for length of service to qualify for IFE.

Procedures for the Selection Process. The following are procedures to follow to obtain this leave:

1. A faculty member submits an application to participate in faculty exchange on the Faculty Exchange Leave Form (available from International Education Services (IES)).
2. All appropriate DEOs and deans review the application.
3. If approved at those levels, the application is submitted through the program director of the appropriate faculty exchange program to the director of IES for review.
4. The Study Abroad and Exchange Committee reviews all applications and makes recommendations to the director of IES.

Applications for the following academic year are due in departmental offices early in the fall semester. Exceptions to the deadline date may be made by the director of IES when necessary and appropriate.

Evaluation Criteria. The following are the criteria for evaluation:

- determination of the extent to which the exchange will enhance the future performance of the individual's duties as a faculty member
- a clear indication that the exchange will benefit the department and institution
- a clear understanding that granting the exchange is an investment in the future of the faculty member and of the department, and is not intended as a reward for past performance
- length of time since the most recent previous IFE (a minimum of two years from completion of a previous IFE must have passed)
- evidence of the proposer's record of scholarly or creative activity

An IFE program may be for no longer than 12 months. Regardless of the length of the leave, the university will continue to make its full contribution to the various employee benefit programs in which the individual is enrolled. When program dates do not conform to the beginning or ending dates of a semester, a separate

justification/ approval memo outlining how teaching responsibilities will be covered during that fraction of time will be required of the DEO(s) via the dean(s). This memo should accompany the IFE application.

If there is a direct exchange of faculty, B-base faculty can be on an exchange program for up to nine months at full salary, and A-base faculty can be on an exchange program for up to 12 months at full salary. If there is not a direct exchange, the time spent off campus will be considered to be a noncompetitive professional development assignment and the individual will receive up to six months' salary from the university. The college will retain control over any salary savings generated by this exchange. Funding for replacement faculty will not be provided from central administration funds. Replacements will be handled and controlled by the applicant's college(s) or department(s). Salary support for Professional & Scientific (P&S) exchanges will be considered only if there is a direct exchange.

Foreign Travel Grant Program

Description. Financial support for university-related travel to foreign countries, but not including Canada and Mexico, in some instances, may be obtained through the foreign travel grant program. Because funds in this program are limited, grants are awarded on a competitive basis and for no more than 75% of the least expensive round trip air fare between Des Moines and the individual's destination.

Eligibility. All faculty may apply for foreign travel grants. Junior faculty who have an opportunity to participate in an international activity that is in the purview of the Foreign Travel Grant Program are encouraged to apply.

Categories of Foreign Travel. Although foreign travel may be undertaken for a number of reasons, most foreign travel requests involve one or more of the following categories:

- long-term research projects in a foreign location
- shorter-duration research or collaborative efforts, often involving several related activities such as lecturing, graduate student recruiting, fund-raising, etc.
- presentations at foreign conferences
- faculty exchanges

Selection Process. The following is the selection process for this grant:

1. The applicant submits his/her request for a foreign travel grant to the DEO for departmental review, often by a committee.
2. If approved, the request is sent with its priority rating to the dean for review by the Faculty Development Committee of the faculty member's college.
3. If approved, the request is then forwarded to the Faculty Senate Committee on Professional Development.
4. Grant decisions are made by this committee and administered by International Education Services (IES).

Instructions for making applications for a foreign travel grant, as well as information concerning application deadlines, may be obtained from the office of each college

dean or from the Faculty Senate office. Applications are reviewed and grants are awarded three times a year by the Faculty Senate Committee on Professional Development, and administered by IES.

Evaluation Criteria. Requests for foreign travel grants will be evaluated on the following criteria:

- determination of the extent to which the foreign travel will enhance the performance of the individual's duties as a faculty member
- a clear indication that the foreign travel will benefit the department and the institution
- length of time since the most recent previous foreign travel grant (normally a minimum of two years should have passed)
- evidence of productive use of any previous foreign travel grant. Length of service at Iowa State and tenure status will not be relevant considerations in the awarding of a foreign travel grant.

Factors Likely to Influence Evaluators. Regardless of which activity is involved, the most important consideration is how convincingly the applicant demonstrates that traveling to a particular location, conducting a particular project, or attending a particular conference is central to his or her professional development and to the departmental, college, and university missions. Evaluators also consider accomplishments resulting from previous foreign travel grants, if any. Both the applicant and the DEO are encouraged to comment on these and other relevant factors from their own perspectives. Examples of other factors that may influence decisions in specific instances are indicated in the following paragraphs.

- **Long-term Research Projects.** Evidence of support from other sources will strengthen one's application. One type of evidence would be a professional development assignment or other arrangement that illustrates the importance and validity of the work to ISU. Another positive indicator is information that either the host country or an institution or agency in the United States or overseas will be providing financial support, office or laboratory facilities, etc. An invitation from the overseas host or institution should be attached. When the proposed activity involves collaborators, evidence of their interest and enthusiasm is also helpful.
- **Shorter-term Travel.** Evaluators tend to rate multi-purpose travel more positively than single-purpose trips. If the travel involves several different activities, a clear statement of the purpose of each activity and a comprehensive schedule for accomplishing those goals should be included.
- **Conference Presentations.** In addition to making the case that the proposed conference is both appropriate and central to one's professional activity, the nature of the participation should be detailed. If the presentation involves a contributed paper, was a competitive review process utilized, and was acceptance based on submission of the entire paper or simply an abstract? If the presentation involves an invited paper, was the invitation issued in recognition of one's general stature in the profession, as one of several papers on similar topics, to be a keynote or theme-setting contribution, or for some other reason? Letters of invitation from the conference organizers should be attached. Regardless of the nature of the presentation, will attendance at this conference bring the applicant into contact with other authorities in the field?

- **Faculty Exchanges.** Evaluators tend to give high marks to faculty exchanges that involve multiple activities. Examples are exchanges that involve teaching, research, recruiting, and collaboration opportunities. Here again, an invitation and a well-designed schedule are helpful. An exchange arranged as a part of a prestigious external program such as the Fulbright Lectureships will probably appear more attractive.

Mentoring Program for New Faculty

The Office of the Provost provides professional development financial support to senior faculty who are designated as mentors and thus accept special responsibilities for assisting new faculty members during their first year.
(see <http://www.iastate.edu/~provost/fs/facdev.html>)

Overseas Study Group Leader and Initial Site Visit Grants

Financial support for faculty or staff may be available to develop and lead student groups on study or internship programs abroad. Funds made available from the Office of the Provost are distributed by the Study Abroad and Exchange Committee, which reports to the Council on International Programs. Proposal guidelines for group leaders are available at the Study Abroad Resource Center, Room 5 Hamilton Hall, 4-6792 or on the web at <http://www.iastate.edu/~cip/Grants/other.html>.

IOWA STATE UNIVERSITY

Faculty Handbook Policies and Procedures Fall 1999

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Academic Freedom

Academic freedom is the foundation of a university because it encourages the unfettered inquiry, debate and learning that characterize an active community of scholars and students. Consequently, Iowa State University grants academic freedom to all members of the faculty, whether tenured or not. This means that the university supports full freedom, within the law, of expressions in teaching, investigation in research, and dissemination of results through presentation, performance, and publication. As a consequence, no faculty member shall be judged on any basis not demonstrably related to professional performance, so long as the exercise of this right does not result in situations that are illegal, that violate faculty-approved university policies, or that interfere with the faculty member's ability to perform his/her duties at the university.

With freedom comes responsibility. In the exercise of academic freedom, faculty members may discuss without limitation any topic related to their professional area of expertise in the classroom, at professional meetings, or through publication. They may not, however, claim the right to discuss persistently in the classroom subject matter that has no relation to a course, nor may faculty members represent themselves in extramural utterances, publications, or activities as speaking for the university, unless they have been specifically empowered to do so. When acting as citizens, faculty members are free from any institutional limitations imposed by this policy.

Rules of Personal Conduct

The Board of Regents, State of Iowa charged by law with the responsibility for the governance of the public universities of Iowa, reaffirms the following beliefs and intentions that will continue to serve as bases for the discharge of the Board's responsibilities:

- The citizens of this state have established and supported the state universities in order to make higher education available at a reasonable cost. It is the responsibility of this Board to ensure that this purpose is not subverted.
- Neither violence nor the threat of violence has any place in a university.
- Freedom of inquiry and freedom of expression are indispensable elements of academic life.
- The freedom to express dissent by lawful means, including peaceable assembly and petitions to authorities, is no less important on a university campus than elsewhere in our society.
- The exercise of this freedom to dissent must not interfere with the rights of others.
- Adaptation and change are necessary processes by which an institution renews and preserves itself.

In line with these beliefs, the Board adopted rules and policies of personal conduct for faculty, staff, students and visitors. Those rules and policies can be found in the *Board of Regents Procedural Guide* and the *Iowa Administrative Code*.

Statement on Professional Ethics

Approved by the Faculty Senate (2/11/92)

Faculty members, guided by deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon men and women in the academic community. Their primary responsibility to their subjects is to seek and to state the truth as they see it. To this end, they each devote their energies to developing and improving their individual scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

Faculty members encourage the free pursuit of learning in their students and protect academic freedom of students. They hold before each student the best scholarly standards of their disciplines. They demonstrate respect for the students as individuals. When a personal relationship that goes beyond that of intellectual guide and counselor exists between a faculty member and a student, it is the responsibility of the faculty member to take appropriate action to avoid any conflict, or apparent conflict, of interest between personal and academic concerns. Faculty members avoid participation in the academic evaluation of students with whom personal relationships exist that could compromise their objectivity. Similarly, when a personal relationship exists with anyone that goes beyond that of professional colleague(s), it is the responsibility of the individuals concerned to avoid any conflict, or apparent conflict, of interest between personal and professional concerns.

Faculty members make every reasonable effort to foster honest academic conduct and to assure that their professional evaluation of a student reflects the student's true academic merits. Faculty members respect the confidential nature of the relationship between a faculty member and a student. Faculty members acknowledge significant scholarly assistance from any student and they avoid any exploitation (e.g., intellectual, sexual, emotional, or economic) of a student for their private advantage.

As colleagues, faculty members have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas they show due respect for the opinions of others. They acknowledge each academic debt and strive to be objective in professional judgment of colleagues. Each of them accepts a just share of faculty responsibilities for the governance of their institution. As members of their institutions, faculty members seek above all to be effective teachers and scholars. Although they observe the stated regulations of the institution, provided these do not contravene academic freedom, they maintain the right to criticize and seek revision.

Each faculty member determines the amount and character of work done outside the institution with due understanding that responsibilities within it are paramount. When considering the interruption or termination of service, faculty members recognize the effect of such decisions upon the program of the institution and give due notice of their intentions.

As members of the extramural community, faculty members have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their disciplines, to their students, to their profession, and to their institution. When speaking or acting in a nonofficial capacity as a private person or member of a group, each faculty member or administrator shall avoid creating the impression that he /she speaks or acts for the institution. As citizens engaged in a profession that depends upon freedom for its health and integrity and to promote further public understanding of academic freedom faculty members have a particular obligation to promote conditions of free inquiry.

Violators of the standards of professional ethics are subject to appropriate disciplinary action which, depending upon the severity or repeated nature of the violation, may range from reprimand to suspension or dismissal. (See also the *Faculty Handbook* sections “Consenting Relationships” and “Policy on Sexual Harassment.”)

Policy on Conflicts of Interest (in Research)

Endorsed by the Faculty Senate (5/10/94), amended and approved (11/7/95)

As a land-grant institution with a strong commitment to research and outreach, Iowa State University and its employees have traditionally interacted with government bodies, private companies and individuals external to the institution. As interest grows in stimulating technology transfer and encouraging economic development, the number and types of external relationships will grow correspondingly. The complexity of Iowa State's increasing interactions with non-university entities confronts faculty and staff members with a variety of issues and concerns. Central to these is ensuring that all parties to an agreement are fully aware of any personal or contractual relationships that might have relevance to or compete with a particular project.

Principles

A conflict of interest may take various forms but arises when a faculty or staff member is or may be in a position to influence the university's business, research, or other decisions in ways that could lead to any form of personal gain for the faculty or staff member or others closely associated with that university employee.

Purpose

This policy is to provide a mechanism for the following:

- identifying conflicting non-university relationships
- informing those with a need to know about conflicting relationships through disclosure
- taking remedial steps to protect the interests of all concerned

Relationships

The nature of faculty and staff relationships varies widely, so it is not possible to define precisely and exhaustively all situations in which a potential conflict of

interest may arise. The following categories do not constitute an exclusive listing, but they do represent the most prevalent types of relationships.

Consulting Activity. It is common for faculty and staff members to serve as consultants for non-university entities. Depending upon the entity and the nature of the activity, consulting may not cause any conflict of interest for a university employee. Payment or a retainer for a consultant's time and expertise is appropriate in many instances.

Equity Interest. University employees are free to own stock in private companies, and relatively modest holdings are not a matter of university concern. An employee who holds equity in or stock options which represent more than \$10,000 or five percent of the total company equity is considered to have an equity interest in that company.

Management Role. A university employee may serve as a director, scientific director, board member, or line officer or hold another management position in a company.

Assessment of Potential Conflicts

A faculty or staff member's consulting relationship with, equity interest in, or a management role within a non-university entity does not necessarily constitute a conflict of interest. A potential conflict may arise, however, when such relationships interfere or compete with one another or with an employee's relationship to the university. Again, because of the variety of possible combinations and complexities, it is not feasible to describe all potentially conflicting situations. Therefore, the following are to be viewed only as examples of relationships that may require disclosure.

Consulting Activity. A potential for conflict arises when an individual seeks or is awarded a contract for sponsored research through the same entity for which paid consulting is being or has been done. Similarly, if one person is serving as a consultant for two or more clients who are themselves in competing or conflicting relationships, then the potential for a conflict of interest does exist. (See also the university's policy on consulting below.)

Equity Interest. As with consulting, the existence of an equity interest does not alone constitute a conflict of interest. But if an employee with such an interest is asked to consult for or is provided research funding from that company or one of its competitors, then the potential for a conflict of interest does exist.

Management Role. If the management role is directly related to research, marketing, or other activities either for the university or for a competing company, then the potential for a conflict of interest does exist.

Multiple Interests or Roles. An individual faculty or staff member may simultaneously become involved in consulting relationships, have equity holdings, and serve as an officer in one or more companies. Each of these relationships may well be independent of all the others and no conflict among them may exist. The independence or interdependence of such relationships may be difficult to assess,

however, unless the individual fully discloses the nature and extent of the relationships.

Disclosure

All parties participating in relationships involving university employees and non-university entities should be fully aware of the nature of those relationships if a potential for conflict exists. **It is the responsibility of the individual who has entered into potentially conflicting relationships to disclose to his or her department executive officer (DEO) or immediate supervisor the nature and degree of such relationships.**

The following two avenues for disclosure are available:

- On a Gold Sheet. Researchers who submit contract or grant proposal forms (Gold Sheets) must indicate on those forms whether they believe that the proposed activity will constitute a conflict of interest. If they do so indicate, they must inform DEOs or other immediate supervisors of the details of the potential conflict. Disclosure is automatically required if the Iowa State University (ISU) employee has an equity interest or a management role in a company supporting research.
- Directly to a DEO/Supervisor. If a faculty or staff member enters into an agreement to provide services such as consulting with non-university entities which do not normally require a Gold Sheet, then any necessary disclosures should be made directly to the DEO/immediate supervisor. Disclosure is automatically required if the ISU employee has an equity interest or a management role in a company involved in the consulting activity.

Form of the Disclosure. A faculty or staff member may use the form included in the *Office Procedure Guide* or write a memo addressed to the DEO or immediate supervisor, defining the nature and extent of any relationships and identifying the entities with which the relationships exist. Documentation such as a contract, letter, or other communication that specifies the nature and extent of the university employee's obligation and duties may be included as part of the disclosure.

Timing of the Disclosure. Disclosures should be made as early as possible to enable those reviewing them to consider what action, if any, needs to be taken regarding any potential conflicts of interest. At the latest, a disclosure statement should accompany the submission of a contract or grant proposal when it is submitted to a DEO for his/her approval.

Review of Disclosures

Departmental Level. A DEO is responsible for reviewing any disclosures made. If, in his/her opinion, no potential or actual conflict of interest exists, further review is unnecessary. Where a potential or actual conflict exists, the DEO must decide if it is serious enough to require intervention or mediation. A DEO may choose to rely on the advice of a departmental ad hoc peer review committee to assist in the evaluation. Information contained in a disclosure statement accompanying a proposal shall remain confidential. If a contract or grant is awarded, however, any relevant disclosures shall be made public and the contracting or granting entity be

informed. For employees not affiliated with an academic department, the immediate supervisor serves in place of a DEO as the reviewer of disclosures.

College Level. If a DEO is unable or unwilling to deal with the actual or potential conflicts of interest that a disclosure reveals, then he/she should forward the disclosure to the appropriate college dean for review. As in the case of departmental review, if a dean believes that no conflict of interest exists, further review is unnecessary. Where a potential or actual conflict exists, the dean should decide if it is serious enough to require intervention or mediation. A dean may choose to rely on the advice of a college-constituted committee in reviewing disclosures. For employees not affiliated with an academic department, the immediate supervisor may forward disclosures to the administrator to whom he/she reports.

University Level. If a dean or other administrator is unable or unwilling to deal with the actual or potential conflicts of interest that a disclosure reveals, then he/she should forward the disclosure to the provost for review. The provost will seek advice from a university committee constituted for that purpose to determine whether a conflict of interest exists and is serious enough to require intervention or mediation. For employees not affiliated with an academic unit, the vice president to whom their unit ultimately reports rather than the provost is responsible for review at this level. If a conflict is deemed to be unavoidable or unmanageable, the university Contracts and Grants Office will notify the potential funding agency of the problem.

Appeal. If a faculty or staff member disagrees with a decision made at the departmental or college level, he/she can request that the disclosure be referred for review to the higher administrative level as described above.

Special Cases

When the university engages in activities with university-employee-owned companies, a potential conflict of interest is possible in these relationships. Board of Regents policy requires prior approval from the Regents before the university can make purchases from a company owned by an employee or an employee's immediate family. Oversight of research relationships with such companies comes under the Conflict of Interest Policy and requires special considerations.

The university encourages interested employees to engage in entrepreneurial activities as a way of contributing to the economic development of Iowa. Occasionally, an employee-owned company will wish to establish a research relationship with the university and its employees. The university is willing to work with such companies on the same basis as work done with companies not owned by university employees. To ensure that such relationships do not harm either the university or its employees, special oversight is required.

Research relationships with ISU employee-owned companies usually take one of the following three forms:

- **University Research is Sponsored by the Company.** A committee of technically knowledgeable but disinterested faculty or staff is established by an administrator at or above the level of dean. The committee will oversee the integrity of the research

and assure the university that the work being done is that to which the university agreed.

• **The Company, in Exchange for a Fee, Uses University Facilities and/or Equipment.** Appropriate fees must be established by the department (unit) head responsible for the facility and/or equipment and must be approved by the vice president for business and finance. Fees should be reasonable and in line with those charged for use by companies not involving ISU employees. A record of amount of use shall be maintained.

• **The Company Employs Individuals who are Simultaneously University Graduate Students.** The Program of Study committee and/or a committee named to oversee research shall be notified of the potential conflict and the student's work for the dissertation or thesis shall be monitored to assure that the quality of the student's research and graduate experience is not compromised by the connection to the company. Generally, it is inadvisable for the student's advisor to be the student's employer or supervisor in the employee-owned company, but exceptions can be sought from the DEO.

Remedies

At any point in the process of reviewing disclosures, a DEO, dean, provost or relevant nonacademic supervisor may conclude that remedial steps should be taken to protect the interests of all parties involved and to limit the negative impact of any unavoidable conflicts of interest. Such remedies may include but are not restricted to the following:

- an agreement signed by all interested parties that none of them perceive a conflict to exist
- public disclosure by the university employee of the conflicting interests. For example, a journal article or public presentation should include a statement disclosing information about any financial support, consulting fees or other payments from any company which sponsored or supported the research described or which might benefit from the results of that research.
- an agreement by the university employee a) to withdraw from any existing consulting or management relationship which appears to conflict with a new relationship or b) to sell or otherwise dispose of any equity interest in conflicting enterprises
- the negotiation of a suitable leave of absence, reduction of appointment, or other arrangements with the university which will reduce or eliminate the conflict of interest as it relates to a particular employee

Sanctions

As noted above, disclosure is the responsibility of the faculty or staff member who becomes involved in activities that may be in conflict. Failure to disclose those relationships is a serious matter which may, in certain instances, be considered an act of academic misconduct. Consequently, an allegation of a failure fully to disclose a potential conflict of interest should be brought to the attention of the university's officer for research standards (ORS). The ORS will handle the matter in accordance with the Iowa State University "Policies and Procedures on Academic

Misconduct Investigations." Employees who are not faculty members may be subject to the conduct policies outlined in the *Professional & Scientific Handbook*.

Research Policies

Review of Research Projects Using Human Subjects

The University Committee on Human Subjects in Research reviews any research involving human subjects for research projects, theses, dissertations, and other student projects. The committee has representatives from various areas within the university and includes a member from the community. The committee meets weekly to conduct reviews to ensure that appropriate guidelines are followed, including federal regulations (*Code of Federal Regulations*, Title 45, Part 46-- Protection of Human Subjects; as published in the *Federal Register* on July 18, 1991). Forms available from the Graduate College, 203 Beardshear Hall, must be completed by the researcher and returned to the committee's secretary before 9 a.m. Tuesday to be reviewed the same week. (see <http://www.grad-college.iastate.edu/forms/HumanSubjects.doc>)

Review of Projects/Courses Involving Live Vertebrate Animals

The Committee on Animal Care (COAC) evaluates for compliance with federal law and university policy all proposed teaching and research involving the use of live vertebrate animals to be conducted by faculty, staff or students.

To initiate review of research projects a Protocol Review Form-Care and Use of Animals in Research must be submitted to the Laboratory Animal Resources (LAR) office, 1426 Veterinary Medicine. This form must be submitted and approved by COAC before any animals are used. The COAC must be informed in writing of any changes in a previously approved protocol. COAC approval must be renewed annually for ongoing projects.

A Protocol Review Form-Care and Use of Animals in Teaching must be approved by the COAC prior to the use of live animals in a course. COAC approval must be renewed annually. Instructors are expected to be familiar with the *Guidelines for the Use of Live Vertebrate Animals in Teaching*. Copies of the *Guidelines* are available from the LAR office.

Protocol Review Forms for teaching and research are available on disk, on the web site, and from the LAR office, the Office of Sponsored Programs, and most departmental offices. The COAC meets weekly to review protocols. Forms must be submitted to the LAR office by 11:00 a.m. Friday to be reviewed the following week. **COAC approval of all procedures involving live vertebrate animals must be obtained before any animals are used.**

Questions regarding the Protocol Review Forms and the review process may be directed to the LAR office, 294-8507. (see <http://www.lar.iastate.edu>)

Gifts, Grants and Contracts

The university regularly receives funds from industry, private sources, governmental agencies, and foundations to support various university activities.

Such funds are frequently designated for scholarships, equipment, research, or training. Gift and grant funds are accepted only when they may be used in fields authorized by the laws of Iowa and by the regulations of the Board of Regents. Funds to support contractual research will be accepted when the work involves an area where there are qualified staff members and adequate facilities, and when the research contemplated will be of benefit to the university, the State of Iowa, and/or the public in general. All awards offered must be reported to the Contracts and Grants Office, Room 213 Beardshear Hall.

The university discourages classified research. Any grant or contract that would restrict disclosure of research results must be approved by the vice provost for research before it is accepted. Faculty or staff members acting as principal investigators are responsible for calling to the attention of the administration any restrictions that would limit the use and distribution of information resulting from research for which they are responsible.

Policies and Laws Regarding Conflicts of Interest

Legal Provisions

All university employees should be aware of any possible conflict of interest situations or activities that are prohibited in *Code of Iowa* Chapter 68B entitled "Conflicts of Interest of Public Officers and Employees."

It is impermissible for employees to use state facilities, equipment, supplies and employees for the employee's private advantage or financial benefit, unless those services are generally available to the public on the same basis. *Iowa Code* §68B.2A. It is also impermissible to use, or to allow private use (regardless of whether the employee has private business purpose) of the state's facilities, equipment, supplies or employees for private purposes and personal gain to the detriment of the state. *Iowa Code* §721.1(5).

Employees who do consulting or otherwise have outside business interests should take care that their actions do not result in use of state funds, facilities, equipment or time subsidizing these outside interests. Failure to properly separate these activities can result in violation of *Iowa Code* §68B.2A and 721.2. See *Office Procedure Guide*.

Employees are also not permitted to receive compensation from persons for performing those duties which the employee is obligated to perform for the University or the state. *Iowa Code* §68B.2A(1).

Board of Regents Policy

Conflict of Interest Vendors. Under Board of Regents policy, university employees, their spouses and their minor children, shall not sell any goods or services having a value in excess of \$1,000 for each transaction or a cumulative value annually in excess of \$2,000 to any Regents institution unless pursuant to an award or contract let after public notice and competitive bidding, except under emergency, negotiated, or other noncompetitive conditions documented and administered by Regents institutions unless approved by the Board of Regents. Board of Regents employees who have, or reasonably anticipate having, an

ownership interest in, a significant executive position in, or other remunerative relationship with a prospective supplier of goods or services to a Regents institution, or who know that a member of their family or other person with whom they have a personal or financial relationship has such an interest, shall not participate in the preparing of specifications, determining qualifying vendors, or selecting successful bidders on products or services in which they have any interest. The potential for conflict of interest exists when an employee maintains a personal business and wishes to provide goods or services to Iowa State University. For the specific policy which governs this activity, see the *Office Procedure Guide*.

Purchases of Goods or Services from Employees.

- Under Board of Regents policy and *Iowa Administrative Code* rules, no Iowa State University “employee”, (see below), whether full-time, part-time, hourly, temporary, or student (including a graduate student on assistantship), may sell, to Iowa State University (ISU), either directly or indirectly, any goods or services in excess of \$1,000 for any one transaction, or more than \$2,000 cumulatively over the course of a fiscal year, unless the Board of Regents, on a roll-call vote, gives its consent. Consent will only be granted after the request has been properly docketed for presentation at a Board of Regents meeting and after receiving a narrative from the ISU employee that explains how the position held by the conflict of interest vendor (employee) will not unduly influence decisions made in the acquisition of goods and services.
- “Employee” is as defined as follows: “Employee shall mean a paid employee of Iowa State University, the employee’s spouse or minor children, and any firm of which any of those persons is a partner or sole proprietor, as well as, any corporation of which any of those persons holds five percent or more stock either directly or indirectly.”
- After the required Board of Regents approval is obtained, ISU employees or officers may not sell any goods or services to Iowa State University, which have a value in excess of \$2,000 for any one transaction, or which have a cumulative fiscal year value in excess of \$5,000 in noncompetitively awarded purchases, unless pursuant to an award or contract let after public notice and competitive bidding. The only exception to the bidding requirement is an emergency condition which endangers life or property. All such emergency conditions shall be documented by the requesting department and approved by the Purchasing Department. The Purchasing Department is required to annually report all purchases from employees to the Board of Regents.
- Do not commit funds or place an order with a conflict of interest vendor, until purchasing has issued an authorizing purchase order. With the strict bidding requirements associated with conflict of interest vendors, an individual making an unauthorized commitment may be making a personally funded commitment.
- University employees and officers who have, or reasonably anticipate having, an ownership interest, a significant executive position, or another remunerative relationship with a prospective supplier of goods or services to Iowa State University, or who know that a member of their family or other person with whom they have a personal or financial relationship has such an interest, shall not participate in the preparing of specifications, qualifying vendors, selecting successful bidders on products or services in which they have an interest, or approving payments to those interests.
- When purchases involve a conflict of interest vendor, the following are prohibited: use of Honorarium Vouchers, use of Payment Authorization Vouchers

(PAV's), placement of orders by departments using direct order entry, and direct reimbursement of petty cash transactions.

Federal Guidelines: Code of Conduct. In addition to the conflict of interest guidelines stated above, Office of Management and Budget (OMB) Circular A-110, Attachment 0, imposes additional requirements on federally funded acquisitions concerning conflict of interest situations. It states: "No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his/her immediate family, his/her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, or parties to subagreements.

Consulting

Members of the staff are often asked to give advice or counsel to private agencies or individuals, and sometimes they are invited to do so on a continuing basis for pay under arrangements commonly referred to as consulting. Iowa State University endorses consulting by faculty members in areas related to their academic fields of expertise, with the understanding that all members of the professional staff render full-time professional service to the university during the periods of their appointment. The decision of staff members to engage in outside work for pay depends upon the nature of their responsibility to the university and the conditions of their appointment, whether the outside work contributes to a better understanding of their professional field, whether the university's standing is enhanced by their outside contacts and services, and most important, whether the consulting work can be done without interfering with their regular university duties. A staff member may undertake consulting work only after the proposed work has been mutually agreed to by both the staff member and his/her department head or chair.

Staff members are required to report annually, through their department executive officer, to the dean of their college the amount of time they have spent on consulting or other professional work for which compensation has been received from other than university sources. The nature of the service performed and the source of the outside remuneration should be indicated.

Staff members are not permitted to receive additional compensation for time spent on a university-administered grant or contract, except with prior approval of the provost.

Iowa Code §68B.6 prohibits state employees from receiving, directly or indirectly, any compensation for the rendition of services against the interest of the state in relation to any case, proceeding, application or other matter before any court or agency of the federal or state government. Services against the interest of the state would include any services rendered by a faculty member in breach of the faculty member's official duties or employment obligations. Any faculty member who knowingly and intentionally violates this rule may be suspended from such faculty member's position, as well as suffer possible criminal penalties. Any type of outside

work should be carefully reviewed by the faculty member and the department executive officer to determine whether it may constitute paid rendition of services against the interests of the state in violation of §68B.6.

Policy on University Sponsored Educational Materials

Royalties for Instructional Materials

The writing of textbooks and the preparation of other materials for use in university classes are commendable activities frequently engaged in by Iowa State University faculty members. The university encourages such work and supports the principle that the faculty should be free to select such texts and materials for use in their classrooms. It is recognized, however, that a faculty member who receives royalties or other direct remuneration for such a scholarly product may be faced with a conflict of interest when he/she is a participant in the decision to adopt the material for local use.

Therefore, it is university policy that a faculty member of Iowa State University may use, in university classes, textbooks or other instructional materials for which he/she receives royalties or remuneration provided that, for any materials so used at Iowa State, the payments that could normally accrue to the faculty member are assigned to the university or to a body mutually agreed upon by the university and the faculty member. The faculty member may, however, be allowed to retain the royalties under either of the following circumstances:

- the use of such textbooks or instructional materials is in accordance with departmental procedures for selecting such materials and the faculty member/author does not participate in the selection process
- because of exceptional circumstances the faculty member's department executive officer recommends that the faculty member be allowed to retain the normal royalties, and the recommendation is approved by the appropriate dean and the provost

Required Readings/Textbook Selection

Prior to the beginning of each term, departments are asked to provide local bookstores with lists of required textbooks for their courses. Although the selection of textbooks is basically the responsibility of individual faculty members, each department is expected to have a procedure for reviewing the selection of required textbooks and other resource materials for the following:

- multi-section courses
- courses in which an unusually large number of textbooks is required
- instances in which the instructor of the course is author of a book required for that course
- instances in which questions are raised by students or other faculty members concerning selection of any text

For more information on policies governing instances for which the instructor of the course is the author of the book required for the course, see "Royalties for Instructional Materials."

University-sponsored Educational Materials

Authors of educational materials, such as books or audiovisual materials produced under university sponsorship or with substantial university assistance, are expected to assign the rights to the university, with the author receiving an appropriate share of the income as defined by prior agreement.

Approved by the Board of Regents, State of Iowa (3/12/76)

Preamble. The development of educational materials is a natural and desirable output of intellectual activity. The creation of educational materials, such as textbooks, by the faculty, staff, and students at Iowa State University has always been encouraged and has resulted in the availability, through commercial channels, of numerous books, laboratory manuals, and other printed materials of real value to the educational process, teaching, and research on a worldwide basis.

Creation of such works has come about through the extra effort expended by faculty and staff members who concurrently have satisfied their normal employment commitments with the university to teach, do research, or carry out administrative functions. The works created have been due to the efforts of one individual (or a small informal group), with the university providing encouragement and support through the unrestricted use of the employee's office, library facilities, assistance in the preparation of graphs and charts, minor secretarial assistance and other similar services to assist in the production of the work. Professional Development Assignments have been, and continue to be, granted to faculty where the desire of the grantee has been to create a written work. Such expressions of ideas through the written word result in manuscripts which are, under Iowa law, the sole property of the author to dispose of as he/she may wish. The only exception to this has been those works created by individuals employed for the specific purpose of writing such works. Through years of development and trial, the freedom to create such works and the encouragement by the university for faculty and staff members to do so, has resulted in the desirable practice described above.

This practice has come to be known as the traditional textbook policy at Iowa State University. No change from this policy is anticipated by this document.

Because of advancing technology, and the recognition of the value of audio and visual aids in education, new forms of educational materials have come into existence at Iowa State University. Motion pictures, slides, and video tapes are examples of such valuable educational materials. While most often initially developed for internal use at Iowa State University, these educational materials are often in a form that directly meets educational needs at other universities or educational facilities elsewhere in the United States and in other countries.

On the other hand, these new forms of educational materials, due to their nature, require a more substantial level of direct support by the university to allow their creation.

The new technologies involved require not only the initial creative effort of an author, but often the additional services of a variety of specialists, equipment, and production facilities. The cost of such services and facilities to adapt the author's creative effort into a desired medium may be substantial, and requires the expenditure of significant university funds by a college or department. It is also

true that the author must spend extra time and effort, and even learn new skills, to assure that a high-quality final educational product will result.

In the production of these new forms of educational materials, the proportional investment of time and money by the author and the university varies substantially from that involved under the traditional textbook policy.

Accordingly, one purpose of this document is to set forth an equitable basis for voluntary agreement between the university and prospective authors (faculty and staff members employed in the variety of departments and colleges at the university) when educational materials are to be developed for internal and external use. It is a further purpose of this document to structure a practical mechanism for the implementation of such agreements, to the benefit of all parties involved.

It is possible that textbooks could be developed under this policy, but in a manner different from the traditional textbook policy. In such a situation, and with the expressed and voluntary written agreement of the faculty or staff member, the university might desire to have a textbook written to meet an educational need, employing the faculty member on a release-time basis to write the needed text. In such a situation, this policy would be used to provide a mechanism for the equitable distribution of income from the sale of the text to others.

This policy is not intended to be retrospective, or to lay any claim to works developed in the past under traditional or nontraditional ways. This policy is prospective. It is somewhat flexible and open to interpretation purposely in some aspects, since not all situations can be anticipated. But above all, it is a basis for voluntary agreement on an equitable basis for meeting new and changing demands for superior education materials--a common goal of every employee of Iowa State University.

Policies.

- Iowa State University encourages the development of educational materials to assist in meeting its responsibilities for academic instruction, extension, and research.
- The university encouragement is provided by assistance in the preparation of such materials (through salary support, stenographic services, materials and supplies, art work, filming, and other services) as authorized by the appropriate administrative officer(s).
- The university recognizes the vested rights of an author under the *Iowa Code*. However, if the educational materials are to be developed with university sponsorship, the author is expected to assign these rights for the benefit of the university. It is not intended that this policy affect the traditional university relationship to faculty members' ownership of books or other instructional materials whose preparation was not supported or assisted in a substantial way by the university.
- Individuals preparing or planning to prepare educational materials are encouraged to clarify whether the materials are covered by this policy through consultation with the appropriate department chair or head and dean.
- In cases in which a prospective author wishes to receive support from the university in a proposed development of educational materials covered by this document, the university will enter into an agreement with the prospective author

prior to the development of the university-sponsored educational materials setting forth the extent of support, if any, associated with their development and providing for payment to the author and/or the distribution of earnings, if any should accrue from the use, rental royalties, or sale of the educational materials.

- Monies in excess of costs and appropriate reserves that are received from use, rental royalties, or sale of the university-sponsored educational materials shall accrue to the benefit of the university, with the author receiving by prior agreement a specified portion of the net income. However, the author may receive a share of first receipts.
- Operational responsibility for university-sponsored educational materials is vested in the appropriate deans or their designated representatives.

Ownership of Course-related Presentations

Approved by the Faculty Senate (5-2-95)

Course-related presentations are owned by the presenter. Individuals may take written notes or make other recordings of the presentations for educational purposes, but specific written permission to sell the notes or recordings must be obtained from the presenter.

Intellectual Property: Policies and Procedures

The Policy on University-Sponsored Education Materials, as approved by the Board of Regents (above), recognizes certain traditional exemptions to the university's ownership. For information on copyrights, trademarks, and patent policies, consult the Office of Intellectual Property and Technology Transfer (OIPTT) or the Iowa State University Research Foundation, Inc. (ISURF). OIPTT provides educational services on issues related to intellectual property. ISURF owns and manages all Iowa State University intellectual property. (see <http://www.public.iastate.edu/~isurf>)

When members of the university community apply for sponsored funding, they sign the following statement on the Gold Sheet: "I agree to be bound by the terms and conditions of the outside grant or contract which supports this proposed activity and, in consideration of the information and facilities made available to me by the university or the outside sponsor, to assign copyright and patent rights to the Iowa State University Research Foundation, Inc. in accordance with terms and conditions stated in the *Faculty Handbook*. I certify that I have not been debarred, suspended or declared ineligible to receive federal agency funds." In signing such a statement, the faculty member agrees that any intellectual property arising from sponsored funding will be assigned to ISURF. ISURF has the responsibility for managing all legal aspects of obtaining protection for intellectual property. The Office of Intellectual Property and Technology Transfer works closely with ISURF and with faculty and administrators within the university to obtain and evaluate disclosures, to determine the appropriate means of protection of intellectual property, and to aid in the marketing of that property.

Individuals are reminded that the legal doctrine of fair use governs the use of copyrighted materials. If there is doubt whether material may be copied, inquiries should be directed to Office of Legal Services.

ISURF also manages all aspects of protection and use of university trademarks. (see below)

Trademark Management Policy

Trademark Licensing Program, 310 Lab of Mechanics, 294-4402

<http://www.public.iastate.edu/~isurf>

Introduction. Iowa State University benefits from public recognition of its name, symbols, logos and other identifying marks (Marks). If properly used and managed, these Marks give a unifying look which is critical to establishing a visual presence within the world of university communities. This look becomes identified with the quality of Iowa State's programs, products and services and distinguishes its programs from other universities.

With students, alumni, and friends of Iowa State residing around the world, a demand exists for the use of the university's Marks. Although a desire to associate with the university may come from a genuine spirit of support, it is in the university's best interest to protect and control the use of the Marks.

The university's rights to its Marks are governed by federal, state, and common laws. These laws place an obligation on the university to control its Marks to avoid misrepresentation of the university's relationship to a product or service. Without proper control, the university risks losing its exclusive rights to its Marks. Licensing others to use the Marks and monitoring their use provides the needed control.

The university has delegated the management of its Marks to the Iowa State University Research Foundation, Inc. (ISURF). This policy sets forth the basis of ISURF's management of the university's Marks. The term university includes the university, its affiliated organizations, and organizations formally registered with the university.

Goals. The five main goals of this management policy are as follows:

- to promote and protect Iowa State University through implementation of a management system which establishes the means for consistent, favorable, and professional use of the Marks
- to fulfill the legal obligation to protect the Marks
- to protect the consumer from deception or from faculty or inferior products and services bearing the university's Marks
- to provide fair and equitable treatment of all licensees
- to realize and distribute earned royalties and other revenues for the benefit of the university

Management.

- Legal protection and enforcement of the university's rights in the Marks is under ISURF's management.
- External use of the Marks by external entities is managed by ISURF with the following principles:

1. Licensing is required for all non-university users.

- the Marks must be licensed to the user and the use approved by ISURF, except when the use:
 - is by the news media for news reporting
 - is by an artist in an original work of art which will not be reproduced
 - is a congratulatory or supportive advertising message using the university's names but not its logos or symbols. For example, "Go Cyclones" or "Welcome Back ISU Students" are supportive types of messages.
- suppliers of products to the university bearing any Mark must be licensed except when Marks are used on the following products:
 - printed publications and advertising for purposes of institutional and event promotion
 - printed supplies, not for resale

2. Royalties are collected for non-university and/or commercial uses. A royalty exception (but not a license exception) may be granted for:

- a product purchased by the university or a university recognized support group such as professional associations, employee organizations, athletic, cultural, and other interest groups for internal consumption or for sale at cost to other members. Promotional products given away by these groups are considered products for internal consumption. If the group has excess product after consumption or sale within its group, it cannot be sold to non-members, but can be given away to non-members.
- selected school supplies which would be considered products purchased by students for course work
- advertising rights to use the Marks as granted in corporate sponsor agreements
- fundraising activities by nonprofit or charitable organizations

3. Licenses are generally non-exclusive except for special programs initiated by the university.

ISURF's *Licensing Program Guidelines for the Use of Iowa State University Marks* provides the management details.

- Use of the Marks by entities internal to the university is managed by the university executive officers including the president, the provost, vice provosts, vice presidents, deans, directors, and affiliated organization directors.
 - Internal uses which fall within the ordinary business of the university do not require licensing. Products created by a university unit for resale, and bearing the Marks must be licensed, except for educational and scholarly materials owned by the university and printed publications and advertising for purposes of institutional and event promotion.
 - Royalties are not payable on internal uses which do not require licensing.

The *Guidelines for the Internal Use of Iowa State University's Marks* provides the management details.

- The university president appoints a Trademark Advisory Committee to assist ISURF in addressing issues related to the management of the university Marks. The advisory committee consists of representatives from university units which may provide a unique perspective and which are key stakeholders in the use of the Marks.
- Net revenues are distributed to university units under a policy determined by the university president. Distribution is approved by the ISURF Board of Directors.

Code of Computer Ethics

Endorsed by the Faculty Senate (5/5/92)

Iowa State University endorses the following statement of Software and Intellectual Rights that was developed through EDUCOM, a non-profit consortium of colleges and universities committed to the use and management of information technology in higher education.

"Respect for intellectual labor and creativity is vital to academic discourse and enterprise. This principle applies to works of all authors and publishers in all media. It encompasses respect for the right to acknowledgment, right to privacy, and right to determine the form, manner, and terms of publication and distribution."

Because electronic information is volatile and easily reproduced, respect for the work and personal expression of others is especially critical in computer environments. Violations of authorial integrity, including plagiarism, invasion of privacy, unauthorized access, and trade secret violations of the university Code of Computer Ethics are treated like any other ethical violation as outlined in the *Faculty Handbook*. Violators may also be billed for illegal use of the computer systems and may be prosecuted for statutory violations, including *Iowa Code* Chapter 716A, "Computer Crime."

Academic Misconduct

Iowa State University is a community of scholars and, as such, is dedicated to the pursuit of truth in all of its endeavors, including teaching, research, and service. Such a pursuit requires integrity on the part of all concerned, in all of their activities. It is not enough for the faculty to develop, transmit, and preserve knowledge. The faculty is also responsible for upholding academic integrity in these pursuits and instilling academic integrity to students. Persons in supervisory and leadership positions have an obligation to create and maintain a climate of academic integrity and to foster this attitude throughout all of their relationships.

Academic freedom and tenure protect the faculty and staff from threats arising from unpopular thought or conclusions, but academic freedom also brings a special responsibility to the university community. Any challenge to the integrity of one member of the community is a challenge to the integrity of the entire community. A challenge to the integrity of the community often comes as a charge of academic misconduct. Prevention of such challenges is essential, and constant care in academic endeavors will forestall most, if not all, of the problems.

This document describes the Iowa State University policy on academic misconduct, defines terms that are necessary for the policy, and provides procedures that are to be used to detect and deal with incidents that may arise.

Definition of Academic Misconduct

The entire academic community at Iowa State University is responsible for maintaining high standards of academic integrity in research and scholarly activities in an effort to prevent academic misconduct. It is important to recognize that academic misconduct involving deception must carefully be distinguished from honest error and differences in judgment which are intrinsic parts of research and scholarly activities.

Academic misconduct may include any or all of the following:

- falsification of data, ranging from fabrication to deceptively selective reporting, including the purposeful omission of conflicting data with the intent to falsify results
- plagiarism...representation of another's work as one's own
- misappropriation of the ideas of others...the unauthorized use of privileged information (such as violation of confidentiality in peer review), however obtained
- misappropriation of funds or resources for personal gain
- falsification of one's credentials

Prevention

Questionable conduct may be forestalled within the Iowa State University community by appropriate attitudes and preventive practices, including the following:

- instruction in the practices and standards of professional integrity and quality, including those applicable to specific fields and professions, as a normal component of education and training for research
- careful scrutiny of staff and their previous work for scholarly integrity at times of hiring and advancement. Informed review and qualitative evaluation should be a normal incident of research and scholarship and its recognition.
- wide dissemination within the university of its policies regarding scholarly integrity together with information about consequences of their breach

Procedures to be Followed (in cases of Alleged Academic Misconduct in Research and Scholarly Activities)

This policy pertains to all faculty, staff, and students engaged in research and scholarly activities and shall not prevent the university from taking additional or alternative disciplinary action, pursuant to university policy or rule.

At every stage of the procedure, great care shall be taken to ensure the rights of the individual(s) charged with academic misconduct in research or scholarly activities and of those bringing the charges to protect the confidentiality of the proceedings. The charged individual(s) shall be informed of their right to counsel as soon as they

are informed of the formal charges made against them. At every stage of these proceedings, the burden of proof shall rest with the university and shall be by a preponderance of evidence. The procedures shall be carried out in a timely manner and shall be characterized by the avoidance of real or apparent conflict of interest.

The procedures to be followed involve two distinct steps. First comes an inquiry involving information-gathering and preliminary fact-finding to determine whether an allegation or apparent instance of misconduct warrants an investigation. An investigation is a formal examination and evaluation of relevant facts to determine whether misconduct has taken place or, if misconduct has already been confirmed, to assess its extent and consequences or determine appropriate action.

Inquiry. The vice provost for research and advanced studies shall appoint from among the tenured faculty an officer for research standards (ORS) and two additional members of the tenured faculty to serve with the officer as the standing members of the Inquiry Committee (IC). The IC shall consist of the ORS, two standing members and two ad hoc members. The ORS shall serve at the discretion of the vice provost for research and advanced studies, and the standing members shall be appointed for three-year terms (initial terms to be two years and three years to permit staggering of the terms in the interest of continuity). The appointed standing members may be reappointed for an additional term. Two ad hoc members of the committee shall be appointed by the ORS for the investigation of each specific case in accordance with paragraph 3 below.

1. Any member of the university community who becomes aware of an apparent instance of academic misconduct in research or scholarly activity has the responsibility of bringing the issue directly to the attention of the officer for research standards (ORS). A person may discuss the situation informally with the ORS before bringing a charge. He/she shall be advised of the possible legal consequences of making frivolous, malicious, mischievous or unfounded charges. The ORS and other university officials will protect, to the maximum extent possible, the privacy of those who, in good faith, report apparent misconduct. If the ORS believes that the issue raised requires further action, the following steps shall be taken:

2. If the person whose conduct is in question is a student, the matter should proceed according to the Rights and Responsibilities and Academic Dishonesty sections of the current *ISU Information Handbook* and the current *Graduate Student Handbook*. Students doing research are expected to uphold the same standards of academic integrity as are the faculty and staff.

3. If the person whose conduct is in question is a faculty or a staff member, the ORS shall bring the charges to the attention of the DEO. The ad hoc members may be members of the primary department of the individual whose conduct is in question unless the ORS or a standing member is from the charged individual's department. No more than two persons from that individual's department and/or discipline may serve on the IC. If one or more standing members is from that department, ad hoc members shall be chosen from other departments such that no more than two members of the IC are from that department.

At the time of the appointment of the ad hoc members, the person being charged with misconduct shall be informed in writing of the following:

- the nature of the allegations made against him or her
- the names of the ad hoc committee members

The person charged shall have the right to two peremptory challenges to the ad hoc appointments of the ORS. The IC, including its ad hoc members, shall conduct a preliminary inquiry of the allegations to determine the following:

- whether sufficient evidence exists to warrant a formal investigation, or
- if the IC finds the allegations are unfounded, to determine whether they may be frivolous, mischievous, or malicious

The IC shall report its findings in writing to the vice provost for research and advanced studies within 60 calendar days of the beginning of the inquiry.

4. Within 30 calendar days of the completion of the inquiry, the vice provost for research and advanced studies, in consultation with the IC, shall decide whether the matter shall be pursued. If the matter is dropped, nothing shall be placed in the personnel file of the person who was charged with misconduct. All written records shall be sealed and deposited in the Office of the Vice Provost for Research and Advanced Studies where they will be maintained for a period of three years. Both the person making the charges and the person charged shall be notified in writing of this decision. Diligent efforts shall be undertaken, as appropriate, to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed and to protect the positions and reputations of those persons who, in good faith, made the allegations. If the charges were found by the IC to be not only unfounded, but also frivolous, and the vice provost for research and advanced studies concurs, this, too, shall be noted in writing to both parties. The university may take disciplinary action in such a case.

If the inquiry has found sufficient evidence of a serious breach of accepted standards of integrity to warrant further investigation, the person charged, along with his/her collaborators on the work in question, shall be informed of the charges, requested to cooperate with investigators, and reminded of their right to counsel. The officer for research standards is empowered to secure laboratories, offices, materials, and other relevant evidence. Appropriate university administrators, including the president, should be notified that an investigation is underway. The ORS acts as liaison between outside agencies and the university in matters related to the inquiry and is responsible for assuring appropriate notification of the impending investigation to these agencies.

Investigation.

1. Within 30 calendar days of the completion of the inquiry, the vice provost for research and advanced studies shall appoint an ad hoc investigating committee consisting of the following:

- one person (as chair) from the tenured faculty of the university within the primary category of representation on the Graduate Council for the charged individual

- one person from the charged individual's primary department
- one person from the charged individual's discipline from outside the university

No one from the IC may serve on the ad hoc committee except that the ORS shall serve as consultant to the committee.

The ad hoc committee shall conduct a thorough investigation of the charges and report the results to the vice provost for research and advanced studies in writing within 120 calendar days of the beginning of the investigation. The charged individual will receive a copy of the report. The person charged will be informed in writing of the composition of the committee and will be invited to provide the committee with pertinent information. Once an investigation has begun, it must continue until a determination has been made regarding the alleged misconduct, even if the person charged is no longer employed by the university.

2. Before the committee makes its report, the person whose conduct is being investigated shall be provided with the opportunity to discuss the case with the committee, with or without counsel. A summary of such discussions will be made a part of the committee's report. The committee shall then report to the vice provost for research and advanced studies. If the committee concludes that there has been no academic misconduct in research or scholarly activities, the matter shall be considered closed, all parties notified and records kept as in paragraph 4 above (See "Inquiry").

If the academic misconduct is established, the university shall take action appropriate to the seriousness of the misconduct. If the committee finds sufficient evidence that academic misconduct occurred it shall recommend appropriate sanctions which may include, but are not necessarily limited to, a letter of reprimand being placed in the personnel file, loss of rights to conduct research and scholarly inquiry, removal from the graduate faculty, suspension by the university, in cases for which the charges were not deemed serious enough to warrant dismissal under paragraph 4 below. The question of the frivolousness of the charges shall not be considered here.

3. Based on the findings of the ad hoc investigating committee, the vice provost for research and advanced studies may administer such sanctions as are within the power of that office to administer, including (but not necessarily limited to) reprimand and removal from the graduate faculty.

4. If the committee finds substantial evidence of misconduct in research or scholarly activities, the vice provost for research and advanced studies shall report the findings to the provost for such further action as is warranted under the procedures of the university, including a full report to the president. Faculty members who believe they have been treated unfairly may follow grievance procedures described herein.

5. If the president finds that the misconduct is serious enough to warrant dismissal, a hearing committee shall be appointed to hear the case as prescribed herein under "Faculty Dismissal Procedures" and the procedure therein followed to its terminus.

6. Up to this point, all stages of the investigation are to be regarded as confidential. The disclosure of information to parties not directly involved is regarded as a serious breach of conduct. At this time, the president shall inform additional parties as is deemed appropriate. The university shall do everything feasible to clarify the public record. This action may take the form of public announcements, published retractions, and disassociations with published papers or abstracts. In particular, funding agencies shall be fully informed unless this has been done earlier to comply with applicable laws and contractual agreements.
7. All pending abstracts and papers emanating from research in which misconduct has occurred shall be withdrawn and editors of journals in which reports, papers or abstracts of such work have appeared shall be notified in sufficient detail to establish correct public record. This notification shall be done by the president with information supplied by the faculty member in charge of the research and the chair of the ad hoc investigative committee described above.
8. If academic misconduct in research or scholarly activities is not confirmed, the university shall consider whether a public announcement would be harmful or beneficial in restoring any reputations that may have been affected. That decision should rest with the exonerated individual(s).

**Policy on
Sexual
Harassment**

Revised (July, 1994)

Iowa State University reaffirms and emphasizes its commitment to provide a professional working and learning environment that is fair and responsible; that supports, nurtures, and rewards educational and employment growth on the basis of relevant factors such as ability and performance; and that is free of discriminatory, inappropriate, and disrespectful conduct or communication. Sexual harassment threatens this environment in that it compromises institutional integrity and corrupts traditional academic values. Equally important, sexual harassment inhibits the individual's ability to function effectively as a student or employee and violates acceptable standards of interrelationships. For these reasons, the university will not tolerate sexual harassment and will make every effort to eliminate it if it appears.

The primary goal of the university's policy prohibiting sexual harassment is to prevent the objectionable behavior or stop it whenever it occurs. The policy is consistent with federal statutes that prohibit sex discrimination against employees and that require equal and fair treatment of students. Thus, the policy presented here applies to students as well as to employees. All employees, including faculty, staff, graduate assistants, and administrators are expected to comply with this policy.

University Responsibilities

Iowa State University--including its officers and its employees--is responsible for maintaining a working and learning environment free from sexual harassment. The administration is responsible for making widely known that sexual harassment is prohibited both legally and by this policy, and that appropriate procedures for dealing with allegations of sexual harassment are available. Students, staff, faculty,

and administrators should know that the university is concerned about such behavior and is prepared to take preventive and corrective action, and also that individuals who engage in such misconduct are subject to appropriate disciplinary action, which may range from reprimand to suspension or dismissal. The severity of the action depends on the severity, frequency, or repetition of the violation. **Note:** See also the *Faculty Handbook* sections titled "Statement of Professional Ethics" and "Consenting Relationships;" the *P & S Handbook* statement on "Professional Ethics;" and the *Teaching Assistant Handbook's* "Regulations Concerning Professional Ethics."

University administrators who do not respond to sexual harassment complaints brought to their attention are in violation of this policy.

Reprisal or retaliation against an individual for making a complaint of sexual harassment, or for using or participating in the informal or formal complaint process, is a violation of university policy, and any such action is cause for disciplinary action.

Definition of Sexual Harassment

Sexual harassment is a form of sex discrimination that is illegal under Title VII of the *Civil Rights Act* of 1964 for employees, under Title IX of the *Education Amendments* of 1972 for students, and under Iowa law. Retaliation against an individual for making a complaint of sexual harassment is also considered to be sex discrimination and is therefore likewise illegal.

Sexual harassment, in its legal definition, includes unwelcome sexual advances, requests to engage in sexual conduct, and other physical and expressive behavior of a sexual nature where:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education
- submission to or rejection of such conduct by an individual is used, or threatened or suggested to be used, as the basis for academic or employment decisions affecting the individual, or
- such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating an intimidating, hostile, or demeaning employment or academic environment

Determination as to whether the alleged conduct constitutes sexual harassment should take into consideration the totality of the circumstances, including the context in which the alleged incidents occurred.

Consistent with the university's intent to provide an atmosphere conducive to education and professional activities, this policy covers those activities which, although they do not in and of themselves meet the legal definition of sexual harassment, are inappropriate in professional settings or circumstances. Interpretation of this policy will give due consideration to the principles of academic freedom and freedom of speech.

Under this policy, sexual harassment can be verbal, visual, or physical. It can be overt, as in the suggestion that a person could get a higher grade or a raise in salary by submitting to sexual advances. The suggestion or the advance need not be direct or explicit--it can be implied from the conduct, circumstances, and relationships of the persons involved. Sexual harassment can also consist of persistent, unwelcome attempts to change a professional or academic relationship to a personal one. It can range from unwelcome sexual flirtations and inappropriate put-downs of individual persons or classes of people to serious physical abuses such as sexual assault. Examples include, but are not limited to, unwelcome sexual advances; repeated sexually-oriented kidding, teasing, joking, or flirting; verbal abuse of a sexual nature; commentary about an individual's body, sexual prowess, or sexual deficiencies; derogatory or demeaning comments about women or men in general, whether sexual or not; leering, touching, pinching, or brushing against another's body; or displaying objects or pictures which are sexual in nature and which create a hostile or offensive work or living environment.

Sexual relationships between persons in an unequal power relationship that appear to be voluntary and welcome may nonetheless constitute sexual harassment under this definition. Relationships between faculty and subordinate faculty or staff, between a supervisor and those employees whom he/she supervises, or between a faculty member or teaching assistant and a student may give rise to legal and ethical concerns or to conflict between personal and professional interests. Although such a relationship may be viewed by the parties involved as consensual, that fact alone does not mean that no sexual harassment exists.

Although consensual relationships *per se* do not necessarily constitute sexual harassment, such relationships may give rise to claims of sexual harassment where:

- third parties are adversely affected in academic or employment matters because of a consensual relationship between others
- where a consensual relationship creates a hostile and intimidating work or learning environment for third parties, or
- when a consensual relationship ends, and one of the parties continues behavior which the other party has made clear is now unwelcome.

Complaint Resolution Procedures

Iowa State University has established both formal and informal procedures to resolve sexual harassment complaints. Anyone who believes that he/she has been subjected to sexual harassment should make this known to appropriate university personnel (described below) so that the behavior can be evaluated and appropriate action taken. Usually, complaints are most effectively addressed at the earliest possible stage. Although not required, persons who have been subjected to sexual harassment are encouraged to inform the instigator, through either verbal or written communication, that the behavior is unwelcome and should cease. The resolution procedures described below, if invoked, will be implemented with discretion and sensitivity, giving careful consideration to the rights of all parties to due process and confidentiality.

Harassment complaints are best resolved if addressed early. The university urges those who have complaints to bring them forward as soon as possible. As time

passes, it becomes more difficult to investigate and resolve complaints. In addition, there are time limitations for filing external complaints with state and federal agencies.

Students and employees may obtain information about the university's sexual harassment policy and resolution procedures from several offices. Students may obtain information from the Dean of Students Office, the Student Counseling Service, and the Women's Center; employees may obtain information from the Employee Assistance Program, the Women's Center, and the Affirmative Action Office.

How To Initiate a Complaint

Anyone who believes that he/she has been subjected to sexual harassment may elect to proceed informally by bringing the complaint directly to the attention of an appropriate administrator, or by filing a formal complaint with the Affirmative Action Office. As described below, the university has designated and trained certain individuals to assist a potentially injured person in deciding if and how to proceed and in carrying out that decision. An individual who elects initially to proceed informally may thereafter elect at any stage to file a formal complaint.

Confidentiality

Persons seeking general information or guidance about sexual harassment may be concerned about whether the information they share with another person will be confidential. While the university is eager to create a safe environment in which individuals can be unafraid to discuss concerns and make complaints, legal obligations may require the university to take some action once it is informed that sexual harassment may be occurring. Because of their positions of authority, university administrators--i.e., central administrators, deans, directors, department executive officers, and managers--are particularly obligated to take action when they receive a complaint of sexual harassment. Although the confidentiality of the information received and the privacy of the individuals involved cannot be guaranteed, they will be protected to as great an extent as is legally possible. The expressed wishes of the complainant regarding confidentiality will be considered in the context of the university's legal obligation to act upon the charge and the right of the charged party to be informed concerning the charge.

Assistors

The university has designated several offices to provide assistance through persons designated as assistors to help anyone who believes he/she may have been subjected to sexual harassment or who wishes to make an inquiry concerning sexual harassment. Assistors have information about university policies and procedures and about options available for the resolution of complaints, but they are not responsible for resolving complaints. Lists of designated assistors are available from the Dean of Students Office, the Women's Center, and the Employee Assistance Program and may be found in the *University Directory* immediately following the section on "University Councils and Committees." The assistor's functions include the following:

- providing information about sexual harassment and options for addressing it
- informing the complainant regarding applicable university policies and procedures and outlining various options, both informal and formal, for resolving the complaint. In addition to providing the employee with a written copy of the university's sexual harassment policy, the assistor will provide information as to various strategies that the complainant may use if he/she wishes to attempt resolution personally, such as confronting the alleged offender, writing a letter to the alleged offender, or utilizing the services of a third party as an intervener.
- accompanying the complainant to informal resolution sessions, if requested by the complainant. The assistor does not, however, function as an advocate or spokesperson for the complainant, nor does the assistor act in lieu of a complainant.
- maintaining notes necessary for statistical reporting. Assistors are required to forward to the Affirmative Action Office, on an annual basis, information on the number and nature of complaints that have been received. These data shall not contain information that would identify the complainant or the person accused in the complaint.

Informal Resolution

As noted earlier in this policy, the university's primary goal is to prevent or stop sexually harassing behavior whenever it occurs. Therefore, Iowa State University has adopted an informal process by which sexual harassment complaints may be resolved by mutual agreement between the complainant and the person accused of sexual harassment. If informal resolution fails to resolve the matter to the complainant's satisfaction, the complainant may file a formal complaint with the university's Affirmative Action Office. The implementation of this informal process is the responsibility of all central administrators, deans, directors, department executive officers, and managers - hereinafter referred to collectively as "administrators."

Under the informal process, the complainant brings the complaint, either verbally or in writing, to an administrator with authority over the person against whom the complaint is directed. The administrator is expected to review the complaint and explore avenues for resolution with the complainant. The university recognizes that it must balance the complainant's right of privacy and the need to be fair to the alleged offender by notifying him/her of the allegation. The administrator has the discretion to determine when the situation requires notification of an alleged offender. The administrator also has the discretion to determine whether the situation warrants a meeting, either with the complainant and the alleged offender both present or with the complainant and alleged offender separately. Finally, the administrator has the discretion to determine whether investigation of the complaint requires interviewing other persons who may have witnessed the behavior in question.

Administrators should attempt to resolve complaints expeditiously, but consistent with the severity or complexity of the matter. It is expected that the informal resolution process will be completed within three weeks after receipt of the complaint. Legal Services Office and the Affirmative Action Office are available for guidance in this process.

For purposes of annual reporting, the administrator shall maintain a written record of the complaint and of the informal resolution process undertaken, taking care to preserve the privacy rights of both the complainant and the alleged offender.

Formal Complaint

A student or employee who believes that he/she has been subjected to sexual harassment may file a formal complaint with the university's Affirmative Action Office (AAO). A formal complaint involves the submission of a written statement to the AAO describing the incident or incidents as completely as possible. Specific guidelines for the submission of a complaint may be obtained from the AAO, and the complainant may visit with a staff member of that office prior to filing a formal complaint. Once a complaint is filed with the AAO, it will be investigated by an AAO staff member. (A complaint against the president will be referred to the Board of Regents for investigation and disposition.) The person against whom the complaint is filed will be notified. The investigation will include interviews with the complainant or complainants, with the person against whom the complaint has been brought, and with anyone else who might have information that would be helpful. Based on this investigation, the AAO will submit findings of facts, as well as a recommendation with respect to appropriate action to resolve the complaint, to the unit administrator of the person against whom the complaint was filed. Any employee against whom disciplinary action is taken as a result of a formal complaint may appeal that action in accordance with the appeals procedure defined in the appropriate employee handbook.

The unit administrator to whom the AAO report has been submitted must notify the AAO in writing as to whether he/she accepts the report as well as what action, if any, has been or will be taken. If the unit administrator does not accept the recommendation of the AAO, the AAO shall submit a copy of the findings and recommendation to the president of the university, who shall in turn take whatever action he/she believes to be necessary in the matter.

The investigation by the AAO will be conducted expeditiously, but in a manner consistent with the complexity and severity of the matter. The AAO will attempt to issue its summary of facts and recommendation within 90 days of initiation of the formal complaint.

The AAO shall notify the complainant in writing of the result of the investigation and the action taken by the university to resolve the complaint. If the AAO's investigation reveals no violation of the university's sexual harassment policy, the complainant may, within ten calendar days from the date of notification by the AAO, appeal to the president. Should the matter remain unresolved to the satisfaction of the complainant, a further appeal may be made, in writing, to the Board of Regents within five days following notification of the decision rendered by the president. The decision of the Board of Regents shall constitute the last internal appeal. Any subsequent complaints external to the university shall be at the discretion of the complainant.

Direct Institutional Action

If a university administrator - i.e., central administrator, dean, director, department executive officer, or manager - becomes aware of information which he/she deems may raise a serious question of risk for an employee or a student, or which he/she deems may subject the university to immediate risk or potential liability, the administrator should take appropriate action to investigate or seek to address the situation. If the information concerns allegations arising from a unit for which the administrator is not responsible, he/she shall refer it to an appropriate administrator who has supervisory responsibility. If the matter is complex or if the administrator is not able to bring the case to resolution, the matter must be brought to the attention of the Affirmative Action Office. The Affirmative Action Office may determine that further action is unnecessary, may provide support to the administrator's continuing efforts, or may initiate a formal investigation. Where an administrator is unsure of the seriousness of the matter, he/she should seek the assistance of the Affirmative Action Officer of the university Legal Services Office.

External Actions

In addition to the university's channels, a person who believes that he/she has been subjected to sexual harassment may file a charge under the various jurisdictions of the Iowa Civil Rights Commission, the Equal Employment Opportunity Commission, or the U.S. Office of Civil Rights. Information on filing charges with any of these agencies may be obtained from the university's Affirmative Action Office.

Policy on Racial and Ethnic Harassment

Revised

Statement of Policy

As a contractor and recipient of federal and state financial assistance, Iowa State University is required by various government bodies to develop and disseminate a written policy statement which sets forth its commitment to nondiscrimination and affirmative action.

In an attempt to comply with these multiple requirements from governmental agencies, the university has developed the following policy statement which it believes incorporates the areas in which discrimination is proscribed as well as those for which affirmative action is permitted or mandated.

The policy statement was revised in June 1998 by President Martin C. Jischke and will remain in force until such time as additional substantive modifications are warranted.

Policy

Respect is the foundation for interchange of ideas, for learning and for working toward common goals. Consequently, Iowa State University assumes responsibility for assuring that its programs are free from racial and ethnic discrimination. Of special importance is the need to maintain an environment free from racial and ethnic harassment. Racial and ethnic harassment impedes the realization of the university's mission of distinction in education, scholarship and service. In serious cases, such harassment can result in liability for the university and in criminal sanctions for persons engaging in harassment. It deeply affects those who suffer the

harassment, preventing them from participating fully in work, research and study. The existence of racial and ethnic harassment diminishes the whole community. For these reasons, the university will not tolerate racial or ethnic harassment and is committed to preventing it or stopping it whenever it may occur at the university or in its programs.

The law defines racial or ethnic harassment as any non-consenting conduct based upon race, ethnicity, or national origin that creates a hostile work or educational environment. Racial or ethnic harassment may include threats, physical contact, pranks, vandalism, verbal, graphic, or written conduct directed at an individual or individuals because of their race or national origin. Even if actions are not directed at specific persons, a hostile environment is created when the conduct is sufficiently severe, pervasive or persistent so as to unreasonably interfere with or limit the ability of an individual to work, study, or otherwise to participate in activities of the university.

Examples of racial or ethnic harassment include, but are not limited to the following:

- severe or persistent racial epithets, derogatory comments, jokes, or ridicule directed to a specific person or persons about their race or ethnicity
- threats of, or actual violence based upon the race or ethnicity of the victim
- defacement of a person's property based upon race of the owner
- persistent and repeated racial or ethnic remarks or conduct, even if not directed at a specific person or persons, which unreasonably affect the ability of persons to participate in university programs

It is the university's goal to prevent the occurrence of harassing activity and to stop harassing conduct when it occurs and before it becomes a violation of law. This policy therefore covers those activities, which, although they may not be severe, persistent or pervasive enough to meet the legal definition of racial or ethnic harassment, are inappropriate and unjustified in an educational or work environment.

When the alleged harassment involves speech alone, the university must be mindful of the tradition of free exchange of ideas inherent in an academic community. Interpretation of this policy will respect the principles of academic freedom and freedom of speech. A determination as to whether racial or ethnic harassment has occurred will be based upon the context in which the alleged conduct occurs. Further guidance on enforcement of this policy in cases of alleged verbal harassment is provided in the university's Discrimination Complaint Procedures.

Enforcement

Complaints of racial harassment may be made as follows:

- Informal complaints may be made to departmental chairs or directors in departments supervising the faculty, staff or students alleged to be engaging in harassment.

Revision: See
page 170 for
added text
(12-29-99 and
8-3-01)

- In cases involving academic activities, including grading, classes, research, advising and outreach, complaints may be filed in accordance with the academic grievance policy in the *University Bulletin*.
- In cases involving allegations of harassment by students, complaints may be made to the Office of Judicial Affairs.
- In cases where the conduct may violate Iowa harassment law, *Iowa Code* §708.7, complaints may be made to the Department of Public Safety.
- In all cases, a formal complaint may be filed with the Affirmative Action Office (AAO).

The routes for complaints indicated are alternatives. One need not file an informal complaint or grievance before filing a formal complaint. A description of the formal, informal and other procedures available for resolving racial harassment or other discrimination complaints is available in the *University Grievance and Complaint Procedures for Discrimination and Racial or Ethnic Harassment*. Copies may be obtained from the AAO.

Persons who violate this policy by using university facilities or equipment may be denied the privilege of continued use of the facility or equipment. For example, a person who uses computing services for harassment may be denied access to computing services.

A complaint to the AAO must be made in writing. In the case of an employee who believes he/she is being harassed by a supervisor, a complaint of racial or ethnic harassment may be, but need not be, first brought to the attention of the supervisor. In the case of a student who believes an instructor has harassed him/her, an academic grievance may be, but need not be, first brought to the attention of the instructor.

Upon the filing of a complaint, the university administrator receiving the complaint will promptly take reasonable steps to resolve the complaint in accordance with the *University Grievance and Complaint Procedures Discrimination for Discrimination and Ethnic Harassment*.

Where harassment is found to have occurred, the university will take appropriate disciplinary and/or preventive action so as to eliminate the conduct. Such steps may include conciliation, mediation and instruction. In any process of investigation or discipline of any member of the faculty, staff or student body, procedures will be followed to accord due process to the accused; and discipline shall be in accordance with the *Faculty Handbook*, the *P&S Handbook*, merit system rules, the collective bargaining agreement or the *Student Information Handbook*, and in accordance with any applicable provision of law.

Employees found to have engaged in harassment are subject to appropriate discipline up to and including termination of employment. Students found to have engaged in harassment are subject to appropriate discipline up to and including dismissal.

Even in the absence of a complaint, if university administrators, including the president, the provost, vice presidents, deans, department executive officers, directors or managers, become aware of allegations of racial or ethnic harassment, it

is their responsibility to inquire into, or seek assistance in inquiring into, the allegations to determine what action is warranted. Administrators needing assistance should consult with the AAO. Appropriate action may include initiation of an investigation and, if the allegations are founded, institution of disciplinary, corrective or preventive measures.

Retaliation against persons who file complaints, who provide information related to a complaint, or who otherwise participate in an informal or formal complaint process is a violation of university policy, and such action is cause for disciplinary action.

In cases where complaints are found to be baseless or frivolous, and where the accused individual consents, the university will take affirmative steps to restore the reputation of a person believed to be wrongly accused. Appropriateness of such action shall be based upon the nature of the investigation, the findings and the reputational damage, which may have occurred.

For more information, contact the AAO.

Consenting Relationships

Consenting relationships that are of concern to Iowa State University are those romantic, sexual, or intimate relationships in which both parties appear to have consented, but where there is a reporting or evaluation relationship between the two parties.

Such consenting relationships between teachers and students, supervisors and employees, or colleagues when one is, or likely will be, involved in the evaluation of the other are inappropriate. In the case of instructor and student, for example, the respect and trust accorded the instructor by the student, as well as the power exercised by the instructor in giving grades, thesis advice, evaluations, recommendations for further study and future employment, may greatly diminish the student's actual freedom of choice concerning an amorous or sexual relationship. Similarly, supervisors are in positions of assigning and evaluating the work of employees who report to them, and senior colleagues often provide advice and support to junior colleagues and are involved in decisions concerning promotion and tenure, course and committee assignments, and salary increases. Because of these reporting and evaluation relationships and the uneven power inherent in such relationships, it will be very difficult to prove immunity from a subsequent charge of sexual harassment on grounds of mutual consent. It is the instructor, supervisor, or senior colleague who, by virtue of his/her position, will bear a special burden of accountability if charges of sexual harassment arise. (See "Policy on Sexual Harassment")

It is the responsibility of the faculty member, supervisor, or other staff member who becomes involved in a personal relationship with a student or employee to avoid any conflict, or apparent conflict, of interest between personal and professional concerns. Thus, a faculty or staff member must not participate in the evaluation of a student, colleague, or staff member with whom a romantic or sexual relationship exists or has existed; in the case of a supervisory relationship, it is the responsibility of the parties involved to take appropriate actions to change the work and reporting

relationship to remove the possibility of a conflict of interest. Failure to do so is a violation of professional ethics and may result in disciplinary action.

Nepotism

Iowa State University policy prohibits persons responsible for the employment of staff members from recommending for employment anyone related to them by blood or marriage. This restriction applies to all employees except those persons receiving a compensation of less than \$600 per year. For further details see the *Office Procedure Guide*.

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

Faculty Dismissal and Grievance Procedures

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Faculty Dismissal Procedures

The procedure described here is one to determine whether or not dismissal action against a faculty member is warranted, and to develop a mechanism involving the faculty in an advisory capacity. Dismissal is defined as severance from a position before expiration of the stated term of appointment. For the purposes of this document, definition of faculty is limited to those holding the rank of instructor, assistant professor, associate professor, or professor.

A faculty member may be dismissed only with due process and only for adequate cause which includes, in addition to financial exigency of the institution, the following:

- professional dishonesty in teaching, research, or extension activity
- demonstrated incompetence
- substantial and manifest neglect of duty
- serious misconduct prohibited by official university policies

Included among these policies are the “Statement on Professional Ethics,” the “Policy on Sexual Harassment,” and the “Rules of Personal Conduct.” Less serious violations of such policies are subject to sanctions short of dismissal, including reprimand and suspension. The Board of Regents, State of Iowa reserves the power to dismiss a member of the staff for other causes, but this power is exercised only under exceptional circumstances and then only for conduct which is clearly prejudicial to the best interests of the university.

The following procedure is adopted for the handling of cases in which the issue is whether a faculty member should be dismissed from employment. It is a dismissal procedure; it is not a grievance procedure, which is to say that failure to grant promotions, leaves of absence, salary increases, or renewals of term appointments is not a basis for invoking this procedure. It is intended to serve the best interests of and to be fair to the individual concerned and to the university. The procedure recognizes the statutory power of the Board of Regents to employ and to dismiss members of the faculty of the Regent institutions (*Iowa Code* §262.9(2) 1958).

When an administrative officer of the university believes that there is sufficient cause for discharge of a faculty member who has tenure, or whose term of appointment has not expired, no formal dismissal action shall occur until the faculty member has been given benefit of the appropriate procedural steps outlined below.

1. Prehearing Settlement

Every effort shall be made to settle the issue of dismissal through discussion. That is, before further proceedings are undertaken, conscientious attempts shall be made to resolve the issue in conversations between the staff member concerned and his/her department executive officer or dean. If this alternative fails, there shall be a conference of the faculty member, the dean or head of the department, and a representative of the president. The faculty member shall have the privilege of bringing a colleague of his/her own choosing to this conference.

2. Preliminary Investigation

If the issue cannot be resolved through discussion, the president shall request the Faculty Senate to appoint a committee of three faculty members to determine the validity and seriousness of the grounds for dismissal and to determine if, in their opinion, further proceedings are justified. If, in its written report to the president, the committee recommends such proceedings, or if the president, regardless of the committee's recommendations, believes it to be in the best interest of the university to pursue the issue, formal proceedings shall begin. If the issue is pursued, a formal statement of the grounds shall be transmitted in writing to the faculty member. In the event that neither the committee nor the president finds cause for implementing formal proceedings, the charges will be deemed not serious enough to warrant dismissal and the faculty member's standing will be removed from jeopardy.

3. Written Statements

The next step in the proceedings shall begin after the president has prepared a written set of specifications outlining, with reasonable particularity, the grounds for proposed dismissal and stating as fully as may be the facts relied on for dismissal and names of witnesses to these facts, together with reference to the rules or regulations allegedly broken. In addition, the specifications shall outline in detail the procedure to be followed and shall inform the faculty member concerning his/her procedural rights. The faculty member shall be given a period of 30 days in which to prepare a reply; should the faculty member request additional time, and the hearing committee deem the request just, the time period may be extended. If they choose, faculty members may waive their right to a formal hearing and allow a written statement to constitute their defense.

4. Hearing Committee

After the president sends formal charges to the faculty member concerned, the president shall inform the president of the Faculty Senate, and that body shall select a group of 11 faculty members as nominees for the hearing committee. All members of the college faculties as defined in the *Basic Document of the Faculty Senate*, §9 other than those with the title of president, provost, vice president, vice provost, dean, director, associate provost, associate vice president, associate dean, associate director, assistant vice president, assistant dean, or assistant director, are eligible for appointment to this committee. The president and faculty member each have the option of two preemptory challenges from the list selected by the senate so that the committee membership may vary from seven to 11 members. No member of the hearing committee shall be chosen from the preliminary committee of three. In addition, no member of the hearing committee shall be junior in rank to the faculty member whose dismissal is proposed and, except in unusual circumstances, no member of the accused's department shall serve on this committee. The committee shall elect its own chair.

5. Hearing

Initially, the hearing committee shall consider the formal charges and the faculty member's reply. If the faculty member waives his/her right to a formal hearing,

the committee shall decide on the basis of available information whether or not dismissal is warranted. If a hearing is not waived, as early a date as is practicable should be set. Hearings will be closed.

In case the facts are in dispute, the committee shall determine the order of proof, rules of evidence and hearing procedure. The burden of proof shall be on the administration as the moving party. The president, or representative of the president, shall be allowed to attend throughout the hearing and to assist in developing the case. However, the committee should normally conduct the questioning of witnesses and may request such additional evidence as the case seems to require.

The accused shall have the right to counsel, whose functions in developing the case parallel those of the president or the president's representative. The administration and the accused shall have the right within reasonable limits to question orally all witnesses appearing before the committee. While formal rules of evidence and court procedure are not necessary, the accused shall have the right to confront adverse witnesses.

All evidence shall be duly recorded.

After the evidence is presented, the parties shall be allowed a reasonable time to sum up and make oral argument; the committee may also require written briefs. When the committee is satisfied that each side has had a complete hearing, it shall retire in private to make its findings of fact and its recommendations.

The hearing committee shall make explicit findings on each of the formal charges presented and shall give reasons for each finding. The faculty member and the president shall immediately be given a copy of the findings of fact and recommendations, together with a transcript of the record if requested. No publicity shall be disseminated about the hearing or about the committee's actions until the hearing has been completed; then only the president will make the formal announcement of the committee's findings and recommendations.

6. Regents Decision

Since the Board of Regents has final power in matters of dismissal, it may choose to review the case. An appeal to the Board of Regents should be directed to the Office of the Board of Regents and must be presented no later than 20 working days following receipt of the president's decision. Until the final decision upon termination of an appointment has been reached, the faculty member may be suspended, with pay. If the appointment is terminated, the faculty member will receive salary for the period of notice to which he/she is entitled. This provision for terminal notice or salary does not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude.

Termination because of Financial Emergency If a tenured appointment is terminated because of a financial emergency, the released faculty member's position will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment and has declined or failed to reply to the offer in writing not later than 30 days after confirmed receipt of such offer.

Termination of Graduate Assistants The procedure for early termination of appointment of graduate assistants, as well as the Regents rules of personal conduct and the grievance procedure, are described in the *Graduate College Handbook*, copies of which are available from the Graduate College Office and on the Graduate College's web site at: <http://www.grad-college.iastate.edu/publications/handbook/chapter9.html>.

Faculty Grievance Procedures Approved by the Faculty Senate (5/12/92)

Who May File Appeals

Faculty members who believe they have been treated unfairly with respect to salary, promotion, tenure, academic concerns, reduction in force, or other matters related to employment may have their cases reviewed formally through the procedures which have been developed by the Faculty Senate and approved by the administration. For purposes of definition, such a call for a review shall hereafter be called an appeal. It is brought by an appellant and is directed at the appellee. Appeals of administrative actions or actions to deny reappointment, promotion or tenure, should be based on grounds that improper procedures were followed, academic freedoms or constitutional rights were violated, policy was interpreted improperly, or arbitrary and capricious criteria were employed in recommending the action being appealed. For purposes of this document, faculty are defined as those holding the rank of instructor, assistant professor, associate professor, or professor on an adjunct, collaborator, probationary, temporary, or tenured basis.

Appeals must be initiated no more than 45 B-base faculty working days following the occurrence of the last event or events that are being appealed. The filing of an appeal should not alter any schedule, time limitation, or deadline to which the parties to the appeal would otherwise have been subject in the absence of the filing (e.g., date of termination or date for which tenure is obtained). However, changes in schedules or deadlines may be among the remedies sought by the appellant.

There are two independent channels for the consideration of appeals:

- administrative
- Faculty Senate Committee on Appeals

Faculty members may use either channel or both consecutively, but not simultaneously.

Appeal Through Administrative Channels

An appeal through administrative channels is initiated when a written appeal, stating the case, naming the appellee(s), and requesting specific remedies is

presented to the administrator or administrative body whose sphere of responsibility includes the events grieved: e.g., a departmental executive officer, a dean, the provost, the president, or the Board of Regents. Appeals presented to the provost may be referred to the Faculty Senate Committee on Appeals, where they will be treated as described below.

The administrator or administrative body that receives the appeal shall investigate it and present the appellant(s) and the appellee(s) with a written response within 20 administrative working days from the date the appeal was received. Working days here are defined as days that the university is officially open for business. The written response shall describe the evidence considered, state the decisions made, and review the reasoning that led to the decisions.

The response time for appeals filed near extended periods when classes are not in session or summer session may be modified accordingly to accommodate the availability of the principals and witnesses appropriate to the appeal. Other adjustments may be made in the appeal procedure's time schedule, provided the appellant(s), appellee(s), and the party investigating the appeal agree to them, or, failing that, the approval of the provost is obtained. An appeal through administrative channels may be withdrawn by the appellant(s) any time before the response is received.

Appeal Through Faculty Senate Committee on Appeals

Faculty Senate Committee on Appeals. Established by the Faculty Senate to consider appeals by any faculty member, the Faculty Senate Committee on Appeals (FSCA) is composed of at least 16 faculty members, plus the chairperson who is elected annually by the Faculty Senate. No member may be a departmental, college, or university administrative officer. Details of the committee structure are described in the *Faculty Senate Bylaws*.

The FSCA is a body that investigates and recommends a course of action; it is not an advocate group for faculty members who believe that they have been treated unfairly. When a case is brought to the committee, it is investigated with due consideration given to the appeal and to the counterarguments offered by the appellee(s). Following a confidential committee investigation and discussion of the allegations and pertinent evidence, a committee recommendation is made relative to the remedies sought. These recommendations are sent to the provost for final disposition in the case. If the provost's decision is not acceptable, a faculty member may take the case to the Board of Regents.

No member of the FSCA shall vote on or participate in an investigation of an appeal of an action in which he/she is or has been directly involved. All appeals brought to the committee are handled in the strictest confidence. The committee may develop other rules of procedure subject to approval by a majority vote of the Faculty Senate.

Procedures in a Faculty Appeal

1. Contacting the Committee. Potential appellants should contact the Faculty Senate Office to obtain the name of the chairperson of the FSCA. In a confidential

preliminary conference, the chairperson of the FSCA will advise the potential appellant regarding the appropriate procedures in an appeal process and provide current copies of the *FSCA Rules of Procedure*. If the faculty member agrees, the chairperson of the FSCA may, at this point, act as an ombudsman to determine if the appeal can be settled by negotiation before proceeding through the steps described below.

Filing an Appeal. The faculty member must do the following:

1. complete the Request for Study of an Appeal form
2. sign a release form
3. provide a written appeal that carefully states and documents the allegation(s) in the case, names of the appellee(s), and states the relief sought

If in the judgment of the chairperson the grounds for the appeal are questionable, the FSCA shall vote on whether or not it will consider the case.

Timing of Initiation of an Appeal. Appeals may be initiated at any calendar time within 45 B-base working days of the action/decision being contested. Exceptions to this 45 day limit may be granted at the discretion of the FSCA. If the time available between the submission of the appeal and the beginning of an extended period without classes is insufficient for an investigation and preparation of a final report, the FSCA chairperson may postpone initiating an investigation of an appeal until the end of the first week following that period. The decision to postpone obligates the chairperson to send written notification to appellant(s) and appellee(s). When less than 45 working days are left in a spring semester, an appeal may be held over the summer.

2. Appointment of an Ad Hoc Investigative Committee. Within five working days of the acceptance of an appeal by the committee, the FSCA chairperson shall appoint an Ad Hoc Investigative Committee of three. The appellant(s) and appellee(s) shall be informed of the Ad Hoc Committee membership. The appellee(s) will be given a copy of the materials submitted by the appellant and a copy of the *FSCA Rules of Procedure*. The appellant(s) and appellee(s) may each request removal of one member from the Ad Hoc Committee, that member(s) to be replaced by another chosen by the FSCA chairperson. The appellee(s) has five working days to submit to the Ad Hoc Committee a written response to the appellant's request for a Study of an Appeal. A copy of this written response shall be given to the appellant(s).

3. Ad Hoc Investigative Committee Procedures. The Ad Hoc Committee shall keep a written log when conducting an investigation. It shall, where possible, interview all witnesses specified by the appellant, by appellee(s), and by other principal parties to the appeal. Other persons may, at the discretion of the Ad Hoc Committee, be interviewed. Interviewees may be accompanied by a counselor(s) at their expense. Only the Ad Hoc Committee, its legal counsel, if any, and persons approved by the party being interviewed shall be present during these confidential interviews.

4. The Ad Hoc Investigative Committee Report. After completing its investigation, the Ad Hoc Committee shall prepare a written report, which shall

include a description of the appeal, the relief sought, the evidence appropriate to each allegation in the appeal, and the findings relative to each allegation. Copies of confidential letters of recommendation that were solicited during the process that led to the appeal will not be included in the Ad Hoc Investigative Committee's report. A tentative set of recommendations shall also be prepared. These will be considered separately from the report by the full FSCA.

This report and tentative recommendations shall be submitted to the appellant(s), to the appellee(s), and to all FSCA members so that all parties concerned will have no less than five B-base faculty working days to consider the report prior to a meeting of the FSCA called to act on said appeal.

5. Response to the Ad hoc Investigative Committee Report. Within this five-day period the appellant(s) and appellee(s) may submit to the chairperson of the FSCA written explanatory statements, stating any disagreements on matters of fact and/or interpretation with the investigative committee's findings. The chairperson shall arrange a reciprocal exchange of explanatory statements between the appellant and appellee as well as distribute such statements to the full committee. Failure by any of the parties to submit an explanatory statement shall be interpreted as acceptance of the factual and interpretive information of the investigative committee's findings.

6. Terminating an Appeal. At any stage prior to submission of the investigative committee's report, the appellant may request in writing to the FSCA chairperson that consideration of the appeal be terminated. In such a case, the chairperson of the Ad Hoc Investigative Committee shall submit to the FSCA chair and to the appellee, a summary report on the general nature of the appeal and its resolution. This report shall be written so as to maintain confidentiality in the case. Once the Ad Hoc Committee report has been submitted, however, the appellant may not terminate an appeal.

7. FSCA Hearing of Case. After the five-day period described above, a quorum of the FSCA shall meet in closed session to review the appeal, the Ad Hoc Investigative Committee findings, its recommendations and all written explanatory statements submitted by the appellant(s) and appellee(s). In this discussion, the full FSCA will formulate specific recommendations based on the Ad Hoc Investigative Committee's tentative recommendations regarding disposition of the appeal. Upon returning to open session, a quorum of the FSCA shall vote by secret ballot on the recommendations in the case. Any FSCA member, present for voting, may individually submit any written commentary, corrections, rebuttal, or opinions as to why the recommendations should be accepted or rejected.

8. FSCA Reporting Procedures. The FSCA recommendations, including a tally of the vote, the investigative findings and attachments, the responses of the appellant(s) and appellee(s), and any concurring or dissenting opinions, shall be submitted by the FSCA chairperson to the provost within 45 B-base faculty working days from the date of the appointment of the Ad Hoc Committee. Adjustments may be made in the time schedule, provided the appellant(s), appellee(s) and the Ad Hoc Investigative Committee agree, or, in the event of no such agreement, with the approval of the FSCA chairperson.

The FSCA chairperson shall also inform the appellant(s) and appellee(s) of the committee's recommendations within five B-base faculty working days of the committee's meeting.

9. Limitation. Once considered by the committee, an appeal may not be reopened unless there is significant new evidence in the judgment of the FSCA.

Responsibilities of Provost

After review of the FSCA report and holding any additional necessary interviews, the provost or a designee shall prepare a written report on the final disposition of the appeal and the university's action in the matter. The FSCA recommendations may be accepted as submitted. If the provost rejects or only partially accepts the recommendations, written reasons must be provided to the FSCA. The provost's signed report shall be addressed to the appellant(s), with copies sent to the appellee(s), and the chairperson of the FSCA within 15 administrative working days (days the university is officially open) from the date of submission of the FSCA recommendations. The chairperson shall inform the FSCA of the response by the provost.

Keeping Records

Confidentiality. The proceedings, findings, and recommendations in an appeal are to be held in strict confidence. Such information may be made public only at the request of or by action of the appellant(s). If the appellant(s) or appellee(s) make public material which the FSCA believes to be unfair to people involved in the case, the committee, after consultation with the parties directly involved, may make public such materials as it deems necessary to achieve a fair presentation of the facts.

Archives. The FSCA chairperson shall deposit in the Faculty Senate Office all materials collected in a review of an appeal. After two years, all materials are to be destroyed unless any of the parties to the appeal request that the materials be retained for two additional years. Neither these documents nor any materials pertinent to the appeal shall be placed in the personnel file of the faculty member (s) held by any administrative unit of the university unless the faculty member so requests. The provost may retain all materials submitted in a case for up to five years in a separate appeals file.

Annual FSCA Report. At the end of each academic year, the FSCA chairperson shall submit to the Faculty Senate a written summary report on the general nature of the appeal(s) taken to the provost, indicating whether the recommendations of the committee were accepted, modified, or rejected. This report shall be written so as to maintain the confidentiality of all cases.

Appeal to the Board of Regents

The faculty member's decision to use the FSCA shall not affect the right of said faculty member to appeal to the Board of Regents. Such an appeal should be directed to the Office of the Board of Regents and must be presented no later than 20 working days following the faculty member's receipt of the president's decision.

Amendments

Amendments to this policy shall be governed by the same rules which apply to amendments of the *Faculty Senate Rules and Bylaws*. After amendments are approved by the Faculty Senate, the chairperson of the Faculty Senate Committee on Appeals is responsible for transmitting changes to the Office of the Provost for inclusion in the *Faculty Handbook*.

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

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Introduction Iowa State University has a strong commitment to excellence in teaching. The quality and impact of teaching is a major concern in evaluating an individual's performance for renewal of appointment, for promotion and tenure, and for merit salary increases. Teaching at Iowa State encompasses a wide range of activities, including not only instruction in regularly scheduled courses, but also the supervision of independent study projects, conducting seminars and workshops, participation in off-campus course offerings, and providing instruction as part of noncredit extension activities. High quality performance is expected in all areas for which the faculty member has instructional responsibilities.

Acquiring the skills to be a good teacher is a developmental process. The university recognizes that faculty members can benefit from guidance in developing these skills. Faculty members are encouraged to seek guidance from within their departments, to request frequent evaluation, to obtain feedback from students, and in general to make every effort to meet the criteria of performance expected at a major university. Helpful services are available from the Center for Teaching Excellence. The Center offers resources and support for faculty members to become scholarly, innovative, and effective teachers. Contact <http://www.cte.iastate.edu>.

Academic Policies The academic policies of Iowa State University are published biennially in the *University Bulletin*. Policies that have particular relevance for the faculty are summarized here, but the *University Bulletin* should be consulted for detailed statements on policies and procedures.

Classroom Management

Academic Advising

Advising undergraduate students is a responsibility of many faculty members. The adviser meets at least once each semester with the student to discuss the student's progress and to review the schedule for the next semester. The adviser also guides the student in the development of an academic program that meets his or her educational objectives as well as the requirements of the curriculum.

Each college structures its advising system according to what best fits its programs and students. The college is responsible for the selection of advisers and for the periodic evaluation of their performance. The University Advising Committee helps coordinate advising across the university and address issues that can improve advising for students.

Admissions Requirements

Approved by Faculty Senate (2/28/91)

To be admitted to Iowa State University directly from high school, an applicant must have completed the following:

- have graduated in the upper half of his or her high school class
- have completed four years of English/language arts, three years of mathematics, three years of science, and two years of social studies. (Admission to the College of Liberal Arts and Sciences also requires two years of a foreign language and a third year of social studies.)

Applicants who do not meet these requirements but who otherwise demonstrate potential for successful academic performance at Iowa State may be admitted by the director of admissions. When deciding whether to admit an applicant who does not meet the regular admissions standards, the director of admissions will use the following guidelines:

- Applicants who rank in the top half of their high school class but who have not yet completed all the specified high school courses may be admitted if they have a total of no more than two unmet requirements.
- Applicants who do not rank within the top half of their high school class and who have no more than two unmet high school requirements may be admitted if they:
 - obtain a composite score of 24 or higher on the enhanced ACT or
 - attain the following combination of High School Rank and ACT scores.
 Comparable SAT scores can be substituted for the enhanced ACT scores.

<u>HSR</u>	<u>ACT</u>
51	20
52	20
53	20
54	21
55	21
56	22
57	22
58	22
59	23
60	23
61	23
62	24

- Applicants from disadvantaged educational backgrounds who do not rank in the top half of their high school class and who have no more than two unmet high school course requirements may be admitted if they attain a composite score of 20 or higher on the ACT.
- Applicants presenting special circumstances (e.g., adult students, GED holders) may be admitted by the director of admissions.
- Extremely able students may be admitted prior to completion of high school with the approval of the director of admissions, the dean of the college in which the student plans to enroll, and the Faculty Senate Academic Standards and Admissions Committee.
- Applicants who do not qualify for regular admissions and who would not be admitted under one of the above provisions but who rank in the upper 80% of their high school class and have no more than two unmet high school course requirements will be offered enrollment in the summer session on a trial basis. Students who successfully complete this summer trial enrollment will be allowed to continue in the fall term.
- Applicants applying directly from high school include all applicants presenting less than 24 hours of transferable college credits.
- Students transferring from another college or university, including area and community colleges, will be admitted if their grade average at the previous institution(s) was at least 2.00. Persons with grade averages below 2.00 may be accepted on probation but will be expected to make up the deficiency in quality points accumulated previously.
- Credits presented from another institution are evaluated initially by the

Admissions Office to determine whether the courses in which they were earned are acceptable for transfer credit. The application of these credits toward graduation will be determined by the student's department or college.

Student Registration. Registration is the process by which students become officially enrolled in the university for a given term. It involves selecting courses in consultation with the adviser or major professor, enrolling in the courses, processing schedule changes, and paying fees. Registration for the next term takes place in the middle of the semester and lasts about four weeks. Registration for summer session should be completed during the previous spring at the same time as registration for fall semester.

All students are encouraged to register for courses through the touch-tone registration system. Students who are unable to or choose not to register through the touch-tone system may use a walk-through registration procedure. Students who do not register by the published deadline for initiation of a schedule through the touch-tone system must use the walk-through procedure for registration.

Specific information on registration is available in the *Schedule of Classes*. Dates for registration are included in the University Calendar in the *Schedule of Classes*, are published in the *Iowa State Daily*, and are posted on departmental bulletin boards.

Periodically, during and after the registration period, the registrar distributes course enrollment tallies to all departments. In addition, current course enrollment data are available from the Registrar's Office and, in many cases, in departmental offices. Requests for names of students in a section prior to the start of a semester should be directed to the Registrar's Student Scheduling Office.

On the first day of classes the registrar distributes a class list for each section. These lists are distributed to the departments and, by them, to the instructors. The lists are updated periodically as students add and drop courses after the term has begun.

Dropping and Adding Courses. Students are allowed to change their schedules, including adding and dropping courses, with no penalty during the first five class days after classes begin.

From the end of that period until the eighth class day following the day midterm grades are due, students may drop courses according to the procedures described in the *University Bulletin*. The total number of courses that students may drop during their undergraduate careers at Iowa State is, however, limited. Students who enter as freshmen are allowed to drop a maximum of five courses, while students entering at a level above freshman classification or in the College of Veterinary Medicine are allowed to drop a maximum of four courses. These limits do not apply to courses dropped during the student's first term at Iowa State nor to courses dropped during the first five class days after classes begin. Details concerning this policy are presented in the *University Bulletin*.

Student Academic Performance

Unsatisfactory Academic Progress. Students who are not making satisfactory academic progress as determined primarily by their cumulative quality-point

deficiency are reviewed at the end of each term by the academic standards committee of their college. For an explanation of the specific policies and procedures that apply to such students, see the *University Bulletin*.

Special GPA Requirements.

Approved by the Faculty Senate (10/14/97)

A program is required to seek approval if it wishes to establish a minimum GPA requirement for admission, continuation, or graduation that exceeds the university requirement. In its request, the program must provide the following:

- a rationale for the special requirement based on expected student learning outcomes
- an equitable, rational, purposeful way that the requirement will be established, implemented, and evaluated

The Faculty Senate Academic Standards and Admissions Committee (FSASAC) is responsible for approving special requirement requests and for reviewing existing requirements on a regular cycle.

Student Records. Iowa State University maintains various records on students to document their academic progress as well as to record their interactions with university staff and officials. In order to preserve students' rights to privacy as well as to provide students with access to those records that concern them, the university has established certain policies to govern the handling of students' records. These policies are detailed in the *University Bulletin* and must be followed by all university employees, including faculty members. Questions concerning the release of information from student records should be directed to the Office of the Provost.

Graduation Requirements

In order to graduate from Iowa State University, a student must have completed all curriculum requirements, achieved a grade average of at least 2.00, made up any quality-point deficiencies transferred from another institution, and taken at least the last 32 credits in residence. Specific requirements of each curriculum are presented in the *University Bulletin*.

Commencement

Iowa State University graduates students three times a year--at the end of the fall and spring semesters, and at the end of the summer session. At all graduations, faculty representing the various colleges take part in the academic procession.

Classroom Instruction

Enforcement of Course Prerequisites

Many courses have prerequisites that the students are expected to have completed before enrollment. An instructor may, at his or her discretion, direct students who lack a prerequisite stated in the *University Bulletin* to drop the course, provided that this action is taken at the beginning of the course.

Validation of Enrollment

If a student who is enrolled in a course fails to attend at least one of the first two class meetings without informing the instructor of the reason for the absence, the instructor may direct the student to drop the course in order to make room for another student wishing to take it. The same policy applies to the first class meeting following the adding of a course after the term begins. The instructor cannot initiate the drop, nor will the student be dropped automatically; this drop must be done by the student.

Attendance Policies

Class Attendance.

Approved by the Faculty Senate (2/15/94)

Students are expected to attend class meetings as scheduled. Each instructor sets his or her policy on class attendance, and excuses for absence from class are handled between the student and the instructor. In order to attend a given class, a student must be registered for that class. Exceptions to this policy are at the discretion of the instructor.

Field Trips. Trips away from campus as part of a course are often appropriate educational experiences. They may not, however, take place during the first or last week of the semester, nor may they extend over more than two consecutive class days (Monday - Friday); these regulations may be waived only by special permission of the dean of the college in which the course is offered. To go on a field trip, the student must obtain permission from the instructors whose classes will be missed. If permission to miss a class is not granted, the student cannot be required to go on the field trip nor be penalized for missing the trip.

Course Information

Approved by the Faculty Senate (9/7/93, 2/15/94, 11/12/96)

Instructors shall provide information regarding course content, objectives, and procedures to students during the first week of each course. The information shall include a course syllabus or schedule of proposed topics, readings, and course materials or other description of the course content. The evaluation procedures to be used, as well as expectations for attendance and assignments, shall also be included.

Explicit Materials. For sound pedagogical reasons, a faculty member may decide to use course materials that include explicit visual representations of human sexual acts. The faculty member has an obligation to inform students at the beginning of the course about the nature of that material. If a student chooses not to view the presentation(s) and the faculty member determines that alternative assignment(s) are not feasible, the student shall be permitted to drop the course without penalty (as an administrative drop) within seven calendar days of receiving the announcement of the presentation.

Distant Sites. Faculty should notify students at the beginning of the course that the class will be recorded or transmitted to distant sites. Faculty whose classes

involve interaction through electronic means should notify their students if comments or submissions are private between instructor and student, available to other students in the class, or available to others outside the class.

Library Reserve. Books and other materials that are required reading may be placed on reserve in the Parks Library for use by students in specified classes.

Evaluation of Student Performance

Awarding Grades.

- Iowa State operates on a 4.00 grading system, with the usual letter grades of A, B, C, D and F, as well as plus and minus grades. Other grades that may be given when appropriate include S (for satisfactory performance in a course offered on an S-F grading basis only) and T (for satisfactory performance in a special examination for academic credit).
- Students in good standing are permitted to apply up to nine credits of work on a Pass-Not Pass basis.

Exceptions: In some curricula specific restrictions apply.

- If a student who is doing passing work has been unable to complete the work in a course due to circumstances beyond the student's control, the instructor may submit an Incomplete (I) along with a form explaining the reason and indicating the date by which the work must be completed. All Incompletes that are not removed are automatically changed to F's by the registrar after one calendar year or just prior to graduation, whichever is earlier. This policy applies to both undergraduate and graduate students.

Submitting Grades to the Registrar.

- If possible, grades in a course should be submitted to the Registrar's Office within 48 hours after the time at which the final examination is scheduled. In any case, grades should be submitted by the deadline established by the registrar. Timely submission is necessary because of the large number of grades the registrar must process in a short period of time. Grades are recorded by the instructor on a class list distributed during final exam week by the registrar and are submitted through the department executive officer.
- If an error is made in reporting a student's grade, the instructor can correct it by submitting a card entitled "Grade Report to the Registrar," available in the departmental office. This card should also be used to remove an Incomplete or to report a late grade.
- Midterm grades of C-, D, and F are reported to the registrar in the middle of the semester as a warning to the student and the student's adviser.
- Student course grades, as well as test scores, may be posted in public locations to inform students of their performance provided that the information is presented in such a way as not to reveal the names or entire Social Security numbers of specific individuals.

Examinations. Examinations are used both to assess the student's learning in a course and to provide students with feedback concerning their progress.

Course Examinations. To meet the latter objective, examinations should be evaluated as soon as possible after they are given, and the results should be made available to the students in a timely way. The instructor is expected to explain the

evaluation procedure to be used at the beginning of the course. Examinations are to be given only during regularly scheduled class periods or during a specially arranged time announced in the *Schedule of Classes*; in the latter case, the special exam time shall substitute for a regular class period.

Final Examinations.

- The last week of the semester is set aside for final examinations or other term evaluations, with a period of two hours scheduled for each course. Specific policies governing final examinations are presented in the *University Bulletin*.
- All classes of two credits or more must meet during the time scheduled for the final examination, and no final examination may be given at a time other than that for which the exam is scheduled except by permission of the dean of the college.
- The instructor may at his or her discretion arrange an exam at another time for an individual student.
- All faculty members are considered to be on duty throughout final examination week and are expected to be available to students during that week for discussion of matters pertaining to the final examination and final grade or to other aspects of the course.

Evaluation of Instruction

Instructor and Course Evaluations. Each college has its own policies and procedures regarding instructor and course evaluations. Some colleges and departments have specific evaluation forms that are to be used by all faculty members in those units. The results of these evaluations usually are considered in the annual review of faculty members. They also may be included in the teaching portfolios prepared by faculty members being reviewed for promotion and/or tenure.

Oral Communication Competence.

Approved by the Faculty Senate (5/7/91)

The Board of Regents, State of Iowa Policy on Oral Communication Competence mandates that all faculty and teaching assistants who provide instruction to students during each relevant academic period will be evaluated for oral communication competence. In the context of this policy, oral communication competence is understood to be the ability to communicate appropriately in the language of instruction. The nature and scope of the evaluation of oral communication competence may vary with the discipline, instructional setting, and material being communicated. The following guidelines apply:

- Written standards and procedures for making the determination of oral communication competence will be developed at the departmental or program level in a collegial manner and will incorporate a mechanism for evaluation of instructors by students.
- Departments will complete such evaluations within the timeframe designated by the Regents policy, i.e., "by the end of each academic period in which [the instructor] has sufficient direct contact with students to render such evaluation meaningful."
- Procedures developed within departments must be written and implemented cooperatively by the teaching faculty and the departmental administration.

- The evaluation of oral competence need not function separately from other evaluation procedures as long as such established procedures meet the Regents requirements for timeliness and student input, and they explicitly address the matter of oral communication.
- The departmental executive officers and program directors, college deans, and the provost are responsible for the implementation of this policy and for ensuring that adequate standards of oral communication competence are maintained.

Student Outcomes Assessment.

Approved by the Faculty Senate (5/7/91)

Introduction. Iowa State University endorses the philosophy of outcomes assessment stated in the National Association of State University and Land Grant Colleges' (NASULGC) "Statement of Principles on Student Outcomes Assessment." These seven principles state that programs for student outcomes assessment should do the following:

- focus primarily on the effectiveness of academic programs and the improvement of student learning and performance
- be based on incentives rather than regulations or penalties
- be developed in collaboration with the faculty
- be appropriate to the particular mission and goals of the institution
- use multiple methods of assessment
- be fiscally conservative and not impose costly programs on institutions
- be linked to strategic planning and program review processes within the institution

All outcomes assessment procedures developed within the university must be consistent with these guidelines.

Policies. Within the framework of these NASULGC guidelines and the stated mission of the university, Iowa State University adopts the following policies regarding assessment of the outcomes of undergraduate programs:

- The primary focus of the assessment process will be on ascertaining the effectiveness of academic programs and instruction and on developing methods to improve the educational process. Although data may be collected from individual students, the purpose of the assessment will not be to certify the competence or skills of particular students. The outcomes of extra-curricular activities will be assessed to the degree that they relate to academic goals.
- The results of student outcomes assessment will be an integral part of the program review and strategic planning processes.
- Assessment of attainment of general educational goals will be conducted primarily at the college level, and at the department or program level when the outcomes are clearly related to the unit's mission and goals.
- Assessment of the outcomes of academic programs (for majors, and as appropriate, minors) will be conducted at the department or program level. Assessments should use methods and procedures appropriate to the nature of the discipline, the goals of the program, and the students in the program.
- Student outcomes will be assessed prior to graduation in all programs. There may also be assessments earlier in the students' college careers and after graduation.

- Use of multiple methods of assessment and multiple evaluators is encouraged, including methods independent of specific courses. Existing sources of information should be used whenever appropriate and feasible. Because the focus of assessment is on improving the educational process, not every student needs to be assessed by every method. The assessment process, however, should include representative samples of students in the program and be conducted on a regular, continuing basis.
- Summaries of the results of the assessments will be shared with the faculty, administration, students, and other interested constituencies.

Procedures.

1. Each academic program or department will develop written procedures that specify the desired educational outcomes of the program and the procedures that will be used to measure attainment of these outcomes and how the results of the assessment will be used to improve learning and instruction. Assessments should include outcomes measures specific to the program and measures of those general educational goals that are expected to be attained by all majors.
2. The department or other administering unit will submit the program or department plans for assessment to the appropriate college dean for review and approval. After approval by the college dean, these plans will be forwarded to the provost for review and approval.
3. Each college will develop written procedures that specify the educational goals of the college and the procedures that will be used to measure attainment of these goals and how the results of the assessment will be used to improve learning and instruction.
4. The college will submit the plans for assessment of the academic program to the provost for review and approval.
5. If the program is approved and funded by the Center for Teaching Excellence, the Office of Institutional Research will provide assistance in developing and conducting assessment programs. University-wide assessment studies may be conducted by the Office of Institutional Research and other offices.
6. Each unit will integrate the results of its student outcomes assessment program into its program review and strategic planning processes.
7. Evaluation of the policies and procedures for outcomes assessment will take place at the time of each unit's periodically scheduled program review.

Revision of Courses and Curricula

The *University Bulletin* describes the curricula, majors, and courses offered by the university. The preparation of a new bulletin, which occurs biennially, provides an opportunity for the revision of existing offerings as well as the addition of new curricula, majors, and courses.

A new course, curriculum, or major must first be approved by the department or college that initiates it. Information regarding the proposal is then distributed to all departments on the campus, to the college curriculum committees, and to the Graduate Curriculum Committee if graduate credit is involved. All proposed changes from a given college must then be approved by the college curriculum committee, the college faculty, the Faculty Senate Curriculum Committee, the Faculty Senate, and the Board of Regents, State of Iowa.

Prior to proposing a new course for inclusion in the bulletin, the department is encouraged to offer the course on an experimental basis. An experimental offering must be announced by a form submitted to the registrar. Copies of this form may be obtained from the department office.

Fees

Computer Fees. All students are charged a special computer fee each term to help defray the university's expenses in expanding and maintaining instructional computing facilities in classroom buildings throughout the campus as well as in locations such as the residence halls. Income from the fee is allocated by the Computation Center Advisory Committee, composed of an equal representation of faculty and students. Specific information concerning instructional computing at Iowa State is presented in the publication, *Computing Resources for Students at Iowa State University*, available at the Durham Center.

Special Fees Charged for Courses. University policy permits a special fee to be charged to students in a specific course to defray expenses connected with that course that are beyond those that the department would normally be expected to cover. Examples include charges for consumable materials, field trips, and the maintenance and replacement of equipment. University policy also requires that, except in emergency situations, a special course fee must be included in the description of that course in the *University Bulletin* and noted in the *Schedule of Classes*, to alert students registering for the course that a fee will be charged for it.

Responding to Requests for Accommodations by Students with Disabilities

Iowa State University seeks to provide a supportive environment for students with disabilities. Instructors must respond appropriately to requests from students for accommodations of their special needs. These accommodations are intended to enable disabled students to meet the course requirements through an alternative path, with no reduction in standards or quality expected. Financial responsibility for the accommodation will be met through university procedures administered by the Disability Resources Office. The following are procedures for implementing accommodations for students:

1. The student is responsible for initiating a request for an accommodation in a specific course. This request should be made prior to or early in the term to allow time for plans to be made and carried out. If the teacher is a graduate teaching assistant, the request should be referred to the faculty member in charge of the course.
2. The instructor should arrange a meeting with the student to discuss the request. The student should be asked to bring his or her copy of the Student Academic Accommodation Request (SAAR) to that meeting. The SAAR describes the types of accommodation that have been recommended for that student by the university's Disability Resources Office. If the student does not have the completed form, he or she should obtain it from the Disability Resources Office prior to the meeting.
Note: In preparing for the meeting, the instructor may wish to consult with his or her college's disability liaison, whose names are published in the *ISU Directory*, or with staff members in the Disability Resources Office (4-1020). Information regarding the student's disability is confidential.

3. At the meeting of the instructor and the student discussion should focus on the kinds of accommodations that the student needs and that have been recommended on the SAAR. The instructor should not inquire about the nature of the disability itself since the student is not legally required to explain it.

4. The instructor and the student should be able to reach an agreement as to the accommodations that will be made.

- If the instructor disagrees with a recommendation made on the SAAR, or if the instructor believes that the student is requesting an accommodation that goes beyond the SAAR's recommendations, he or she should discuss those concerns with a staff member in the Disability Resources Office.
- If the instructor and the staff member are unable to reach an agreement, the issue should be discussed with the instructor's department executive officer and, if still unresolved, should be referred to the college liaison for resolution. The college liaison will in turn consult with the Affirmative Action Office to insure that whatever action is taken is in compliance with the requirements of the Americans with Disabilities Act of 1990.

Learning Enhancements

Honors Program

Iowa State University offers undergraduates with high ability and clear educational objectives an opportunity to individualize their education by becoming members of the University Honors Program. The University Honors Program Committee is responsible for the administration of the program, for setting policies, and for developing activities to enhance the educational experience of students in the program. The following are general guidelines for the Honors Program:

- Each undergraduate college operates its own honors program under the general supervision of the university committee. The college honors program committees are responsible for admitting students to the program and for approving their programs of study.
- Students may apply for admission to the Honors Program during their second semester in residence and at any time thereafter until the student is within 48 credits of graduation. Application should be made to the honors program committee of the college in which the student is enrolled. Criteria for admission in all colleges include a 3.35 cumulative quality-point average and a defined academic objective that can best be met through the Honors Program. Students are admitted for a brief period as associate members for the purpose of developing a program of study; approval of this program admits them to full membership.
- Students in the Honors Program are eligible to enroll in honors courses and seminars, to take other courses for honors credit, to request the waiver of certain requirements, to develop an honors project, to utilize the facilities of Osborn Cottage, and to participate in a variety of educational activities, both on and off campus. Each student is guided by an honors adviser and, in some colleges, by a special advisory committee as well.
- Each year a group of entering freshmen is invited to apply for admission into the Freshman Honors Program. The students selected enroll in the fall semester in an honors section of First-Year Composition and a Freshman Honors Seminar; honors sections of several other freshman courses are also available to them. If these

students wish to be admitted to a regular college honors program, they must go through the normal application and review procedure at the end of their freshman year.

Further details about the Honors Program are presented in the *University Bulletin* and are available from the Honors Program Office in Osborn Cottage. Faculty members can become involved in the program by offering honors seminars, serving on the college honors program committee, and serving as advisers to honors students.

Learning Communities

At Iowa State University, learning communities are structured by discipline or area of interest. Many of the learning communities are sub-divided into groups of students sharing a common schedule of introductory classes and/or living assignments. Faculty members who serve as academic advisers to students need to be aware of the learning community options available to their students. Faculty members are encouraged to consider participating in learning communities. Information is available from the Center for Teaching Excellence at <http://www.cte.iastate.edu>.

Overseas Study Groups (Project Assist)

Iowa State University encourages international travel and study by both students and faculty. Financial support for faculty or staff may be available to develop and lead student groups on study or internship programs abroad. Funds made available from the Office of the Provost are distributed by the Study Abroad and Exchange Committee which reports to the Council on International Programs. Guidelines for preparing and submitting proposals are available on the web at <http://teach.admin.iastate.edu/CTE>, or from the Center for Teaching Excellence.

Academic Dishonesty

Academic dishonesty is considered to be a violation of the behavior expected of a student in an academic setting as well as a student conduct violation. A student found guilty of academic dishonesty is, therefore, subject to appropriate academic penalty to be determined by the instructor, as well as to penalty under the university student conduct regulations.

If an instructor believes that a student has behaved dishonestly in a course or has been informed of such behavior by others, these steps are to be followed:

1. The instructor should confront the student with the charge of dishonesty and arrange a meeting with the student to discuss the charge and to hear the student's explanation.
2. After the meeting with the student, two outcomes are possible:
 - If the student admits guilt, the instructor will determine the appropriate grade for the work in which the dishonesty occurred and inform the student of how the incident will affect subsequent evaluation and the final grade. The instructor will also report the incident in writing to the head of his or her department and to the dean of students, who will counsel with the student and may at his or her discretion

refer the case to the All-University Judiciary Committee for disciplinary action.

- If the student claims to be innocent of the charge, no grade for the work in question shall be assigned until the issue of guilt is resolved. The instructor shall report the incident in writing to his or her department head and to the dean of students, who will schedule a hearing before the All-University Judiciary Committee.

- If the judiciary committee finds the student guilty of the charge, the instructor will determine the appropriate grade for the work in question and inform the student of how the incident will affect subsequent evaluation and the final grade. The committee will determine the appropriate disciplinary action.

- If the judiciary committee finds the student innocent, the instructor will grade the student accordingly on the work in question, and the student's grade in the course will not be adversely affected.

Further details concerning the procedure for handling instances of known or suspected academic dishonesty are presented in the *University Bulletin*.

Appeal of Academic Grievances

Students who feel they have been treated unfairly by a faculty member with respect to grading or other course-related issues may appeal the faculty member's action through the following channels: consultation with the instructor, with the department head or chair, with the dean of the college, and with the provost. If the appeal reaches the provost, it will be referred to the Committee to Review Student Grievances, composed of students and faculty, which will hold a hearing and make a recommendation to the provost. A detailed explanation of the procedures to be followed is presented in the *University Bulletin*.

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

Maintenance of the Faculty Handbook

Maintenance of the *Faculty Handbook* is the responsibility of both the Office of the Provost and the Faculty Senate Governance Council. Each year the *Handbook* is updated for changes and additions in policies, procedures, and descriptive information. During the academic year, the Governance Council, assisted by the Governance Structure and Documents Committee, does the following:

- monitors Faculty Senate actions that affect material described in the *Handbook*
- keeps accurate records to contribute to the revision process
- works with the Office of the Provost to update the general information in the *Handbook*
- reviews changes and additions to the *Handbook*
- monitors other changes, such as legislative actions and Board of Regents decisions that affect faculty

The changes submitted by the Faculty Senate for inclusion will be submitted in writing and cite Faculty Senate resolutions by number. The Office of the Provost will respond in writing regarding the disposition of each submission.

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

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IOWA STATE UNIVERSITY

Faculty Handbook Policies and Procedures Fall 1999

Revisions

Policy on Racial and Ethnic Harassment

Enforcement Section added in entirety added 12-29-99

Interpretation of this policy shall be consistent with federal and state law regarding racial harassment, and will not be interpreted to infringe upon First Amendment rights of free speech..... added 8-3-01

Revisions after August 19, 1999

Policy on Racial and Ethnic Harassment

Revised

Interpretation of this policy shall be consistent with federal and state law regarding racial harassment, and will not be interpreted to infringe upon First Amendment rights of free speech. When the alleged harassment involves speech alone, the university must be mindful of the tradition of free exchange of ideas inherent in an academic community. Interpretation of this policy will respect the principles of academic freedom and freedom of speech. A determination as to whether racial or ethnic harassment has occurred will be based upon the context in which the alleged conduct occurs. Further guidance on enforcement of this policy in cases of alleged verbal harassment is provided in the university's Discrimination Complaint Procedures.

Added

12/29/99

Enforcement

Complaints of racial harassment may be made as follows:

- Informal complaints may be made to departmental chairs or directors in departments supervising the faculty, staff or students alleged to be engaging in harassment.
- In cases involving academic activities, including grading, classes, research, advising and outreach, complaints may be filed in accordance with the academic grievance policy in the *University Bulletin*.
- In cases involving allegations of harassment by students, complaints may be made to the Office of Judicial Affairs.
- In cases where the conduct may violate Iowa harassment law, *Iowa Code* §708.7, complaints may be made to the Department of Public Safety.
- In all cases, a formal complaint may be filed with the Affirmative Action Office (AAO).

The routes for complaints indicated are alternatives. One need not file an informal complaint or grievance before filing a formal complaint. A description of the formal, informal and other procedures available for resolving racial harassment or other discrimination complaints is available in the *University Grievance and Complaint Procedures for Discrimination and Racial or Ethnic Harassment*. Copies may be obtained from the AAO.

Persons who violate this policy by using university facilities or equipment may be denied the privilege of continued use of the facility or equipment. For example, a person who uses computing services for harassment may be denied access to computing services.

A complaint to the AAO must be made in writing. In the case of an employee who believes he/she is being harassed by a supervisor, a complaint of racial or ethnic harassment may be, but need not be, first brought to the attention of the supervisor. In the case of a student who believes an instructor has harassed him/her, an academic grievance may be, but need not be, first brought to the attention of the instructor.

Upon the filing of a complaint, the university administrator receiving the complaint will promptly take reasonable steps to resolve the complaint in accordance with the *University Grievance and Complaint Procedures Discrimination for Discrimination and Ethnic Harassment*.

Where harassment is found to have occurred, the university will take appropriate disciplinary and/or preventive action so as to eliminate the conduct. Such steps may include conciliation, mediation and instruction. In any process of investigation or discipline of any member of the faculty, staff or student body, procedures will be followed to accord due process to the accused; and discipline shall be in accordance with the *Faculty Handbook*, the *P&S Handbook*, merit system rules, the collective bargaining agreement or the *Student Information Handbook*, and in accordance with any applicable provision of law.

Employees found to have engaged in harassment are subject to appropriate discipline up to and including termination of employment. Students found to have engaged in harassment are subject to appropriate discipline up to and including dismissal.

Even in the absence of a complaint, if university administrators, including the president, the provost, vice presidents, deans, department executive officers, directors or managers, become aware of allegations of racial or ethnic harassment, it is their responsibility to inquire into, or seek assistance in inquiring into, the allegations to determine what action is warranted. Administrators needing assistance should consult with the AAO. Appropriate action may include initiation of an investigation and, if the allegations are founded, institution of disciplinary, corrective or preventive measures.

Retaliation against persons who file complaints, who provide information related to a complaint, or who otherwise participate in an informal or formal complaint process is a violation of university policy, and such action is cause for disciplinary action.

In cases where complaints are found to be baseless or frivolous, and where the accused individual consents, the university will take affirmative steps to restore the reputation of a person believed to be wrongly accused. Appropriateness of such action shall be based upon the nature of the investigation, the findings and the reputational damage, which may have occurred.

For more information, contact the AAO.