

1998 Faculty Handbook

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The University

Statement of Mission

(Revisions Approved by 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, but 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 master's 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.

Administrative Structure

Iowa State University of Science and Technology is one of five institutions managed and controlled by the State Board of Regents. 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 offices of the Board of Regents are located in the Old Historical Building, Des Moines, Iowa.

"Iowa State University of Science and Technology" is the official name of the university. Iowa State University 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 attends meetings of the Board, reports on university affairs, participates in policy discussions, presents the university budget, and recommends policy changes, expenditures not provided by the budget, construction of new facilities, changes in curricula, establishment of new courses, and all types of personnel actions.

The president is held responsible for the administration of university affairs. The university's chief executive officer also serves as the presiding officer of the General Faculty and of the Administrative Board. The president also 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 the offices of Institutional Research and Internal Audit, and the Affirmative Action Office.

The provost, through the deans, directors and vice provosts, coordinates and administers the academic and research programs and the personnel policies of the university. The person in this position holds responsibility for the University Library, the Computation Center, International Programs, the Honors Program, the Instructional Technology Center, Placement, 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 Students and Scholars 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 Research Park, and Iowa State Innovation System.

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. The General Faculty is responsible for educational policies and procedures of the university, including admission requirements, graduation requirements, curriculum and course revisions, new degree programs, and grading procedures. It also recommends candidates for diplomas, degrees, and certificates to be conferred by the president. Major changes in educational policy 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 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 has legislative responsibility for general academic and educational policy for the university, facilitates communication between the faculty and the students and the administration, and cooperates with the administration in conflict resolution.

Membership in the Faculty Senate is determined as follows: Each department is entitled to one senator elected by the faculty of the department; each college is entitled to one at-large senator and one senator for each 100 faculty over 100. At-large college senators are elected by each respective college faculty. The Faculty Senate is required to hold regular monthly meetings during each term of the academic year.

The officers consist of president, president-elect and secretary; they are members of the Faculty Senate and are elected by the Faculty Senate. The Faculty Senate's organization consists of the Executive Board, councils and committees. The Executive Board prepares the agendas for all Faculty Senate meetings and acts for the Faculty Senate when it is not in session. The councils facilitate communication and cooperation among Faculty Senate committees and timely forwarding of issues to the Executive Board. Faculty Senate committees conduct business under the auspices of Faculty Senate councils and report to their respective councils.

The basic document, as approved by the State Board of Regents, and the *Rules and Bylaws* of the Faculty Senate are presented in Appendix A of this handbook.

The Faculty Senate Executive Board

The Faculty Senate Executive Board provides leadership and planning for the Senate, directs the preparation of the Faculty Senate agenda, advises the president on appointment of all Senate committee members, and manages the relationship between the Faculty Senate and the university

administration. The Executive Board acts for the Faculty Senate when it is not in session and reports such actions to the Faculty Senate.

The Faculty Senate Councils and Committees

The council chairs and members are elected by the Faculty Senate and college caucuses, respectively. Membership on Faculty Senate committees is assigned by the president of the Faculty Senate. Committee chairs are appointed by the president of the Senate with advice and consent of the Executive Board. Full committee and council descriptions are contained in the *Rules and Bylaws* presented in Appendix A of this handbook.

A. Council on Faculty Governance oversees the internal operations of the Faculty Senate, which includes proposing procedures for Faculty Senate elections and operating procedures, reviewing and proposing changes to the *Basic Document* and the *Rules and Bylaws*, and monitoring the Faculty Senate's governance system.

Committee on Committees conducts elections of faculty to the Faculty Senate and recommends faculty members for committee appointments.

Committee on Governance Structure and Documents continuously reviews the governance documents and organizational structure of the Faculty Senate.

B. Council on Academic Affairs coordinates the creation and consideration of policy in the area of academic affairs.

Committee on Academic Standards and Admissions considers policies and procedures related to academic standards for enrolled undergraduates and admissions for prospective new students and transfer students.

Committee on Curriculum recommends to the Faculty Senate university-wide curriculum standards and catalog offerings and changes.

C. Council on Faculty Development and Administrative Relations addresses and coordinates policy and procedural recommendations relating to faculty development and well-being, academic freedom, faculty evaluation, and issues pertaining to administrative relations.

Committee on Facilities and Educational Resources advises on all matters, as they relate to instruction and research, concerning facilities, grounds and other physical resources.

Committee on Faculty Welfare and Development oversees current policies and recommends new ones concerning the professional growth and general welfare of all faculty members.

Committee on Professional Development recommends to the provost the granting of faculty improvement leaves and foreign travel grants to individual faculty members.

Committee on University Budget considers all budget matters, including sources of revenue, allocation of resources within the university, and relation of future budget requests to the Faculty Senate's initiatives and priorities.

Committee on University Planning identifies issues, makes suggestions, and reviews matters related to long-range planning for the university.

D. Council on Judiciary and Appeals maintains a system for faculty grievance and works with the provost in defining the procedural and policy interface between the faculty grievance process and the administration's jurisdiction.

Committee on Appeals hears and works to resolve grievances from faculty who believe they have been treated unfairly with respect to salary, promotion, tenure, academic concerns, reduction in force, or other matters relating to employment.

University Councils and Committees

Much of the work of the university is done by numerous councils and committees that make recommendations to the president or other administrative officers and to the General Faculty. Most committees are composed of faculty representatives from the various colleges, appointed by the president or the provost on recommendation of the college deans, and student members, usually recommended by the Government of the Student Body, and nonacademic staff representatives. Periodic membership rotation provides an opportunity for many faculty members to serve on these committees.

A complete list of standing councils and committees, including their current membership, is found in the *University Directory*. Those of special interest to the faculty are mentioned here.

Academic Advising Committee coordinates the advising programs of the various colleges and advises the provost on issues of interest or concern to advisers.

All-University Judiciary Committee is the hearing board for charges of student conduct violations, including academic dishonesty.

Benefits Committee studies and makes recommendations with respect to employee benefit programs, including group insurance plans and retirement annuity programs.

Calendar Committee recommends to the administration the specific university calendar on a biennial schedule.

Capital Improvement Advisory Committee reviews and advises the administration with respect to proposals affecting the external features of the campus that are developed by the university planning staff.

Child Care Committee advises the university administration on child care needs of students, faculty and staff, recommends ways by which these needs can be met, and works with various organizations within the community interested in child care.

Committee on Women advises the administration regarding policies affecting women faculty members, staff and students.

Computation Center Advisory Committee studies the needs of the Computation Center as related to the instructional and research programs of the university and advises the director on matters of general policy, development of Computation Center resources, and integration of the Computation Center programs with those of other units of the university. The committee also recommends allocation of the annual income from the special university-wide computer fee.

Council for Intercollegiate Athletics manages the budget for intercollegiate athletics and recommends to the president certain staff appointments concerned with intercollegiate athletics (see Appendix B for details).

Council on Student Affairs advises the vice president for student affairs on issues related to the welfare and development of students.

Diversity Steering Committee assesses campus climate and makes recommendations for improvement.

Graduate Council provides a channel for representative faculty and student interaction with the Graduate College administration on questions involving direction and process of graduate education.

Honors Program Committee coordinates the Honors Programs of the various colleges and establishes general policies pertaining to these programs.

Human Subjects in Research Committee reviews all proposed research involving human subjects and determines whether federal and local guidelines and requirements have been followed.

International Programs Council coordinates development of international service programs, reciprocal exchange agreements with foreign entities, study abroad programs, internationally oriented research programs, and campus programs with international emphasis.

International Studies Committee oversees majors and minors in international studies and coordinates the advising of students enrolled in those programs.

Lectures Committee provides lectures, drama, and events that have no other possible source of sponsorship. The lectures extend from topics of national and international concern through the arts. The committee also provides both guidance and financial assistance to campus groups who desire speakers on a particular issue.

Library Committee advises the dean of library services on matters relating to general policies and developments of the library and its services.

Performing Arts Council plans and organizes concerts and programs for the ISU Center Series and special events in the performing arts.

Public Events Committee reviews and coordinates all proposals for major events on campus and gives final approval on dates and places for special events.

Retirees Committee maintains a link with the university for all retired faculty and staff and their spouses through continuing education and social programs, newsletters, special interest groups, and short travel tours, and encourages participation in service to the university and community.

Safety Committee monitors the university's physical environment to insure optimum safety conditions.

Transportation Advisory Council recommends policies and regulations with respect to traffic and parking on the campus.

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 master's 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 master's degree or a master's degree without thesis is available.

The Graduate Faculty in various programs handles admission and classification of graduate students, establishes requirements for advanced degrees, and has charge of instruction and research at the graduate level. Graduate faculty members also teach graduate courses, serve on program of study (POS) committees, and direct work of master's 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 president, the provost, vice provosts and associate provosts, the dean and associate deans of the Graduate College, deans and associate deans of the other eight colleges, the deans of library services, and the directors and associate directors of research institutes as members. 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 department executive officer. Membership is appropriate for a person who holds a tenure-track, appointment with the academic rank of assistant professor or above at Iowa State University and who has demonstrated 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 hold the academic rank of adjunct, collaborator, visiting, temporary, or affiliate faculty and who otherwise meet the requirements for graduate faculty membership. 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*.

Graduate Council

The Graduate Council is a representative body consisting of fifteen elected members of the graduate faculty and four elected graduate student members. The Graduate Council serves as the executive committee of the graduate faculty and sets policy that concerns the direction and process of graduate education at Iowa State University. Meeting at least monthly during the academic year, the council provides a mechanism for interaction among graduate students, graduate faculty members, and the administration of the Graduate College. Meetings are open to any interested members of the graduate faculty, staff, or student body.

The Graduate Council submits recommendations to the Faculty Senate regarding graduate curriculum issues. Suggestions for new policies and policy revisions may be submitted to the Graduate Council by members of any of its constituent bodies, by the Graduate Faculty and the Graduate Student Senate, or by the Graduate College administration. The Graduate Council issues a formal report at the end of every academic year, with a copy published in the Graduate College newsletter, *Research and Graduate Education*.

Directors of Graduate Education (DOGE)

DOGEs 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 to exchange information about graduate education and research. Recruitment of graduate students, sources of support, and academic policies are also reviewed at DOGE meetings.

The Major

A major is the approved area of study or academic concentration in which a graduate student chooses to qualify for the award of a graduate degree. Each major is offered by a group of qualified faculty who are responsible for curriculum, requirements, and standards that constitute a distinct program of training. The responsible faculty may be administratively located in a single department (departmental major) or may be located in several departments (interdepartmental major).

College and Departmental Organization

The Dean

The dean of the college is the chief administrative officer for the college and is responsible to the president through the provost. The dean recommends the appointment of heads or chairs of departments to the president after consultation with the department staff, submits the departmental budgets to the president, supervises the registration and the progress of students in

the college and recommends them for the baccalaureate degree, and represents the college in all official business.

Each dean is responsible for the administration of both the academic program and the research program of the college, the latter including a college research station or institute. The deans are appointed by the president with the approval of the Board of Regents.

The College Faculty

The college faculty is composed of all faculty members who hold academic rank in a department in that college. Each college faculty, or its assembly of elected representatives, meets at least once each semester (and more often on the call of the dean) to act on educational matters within the province of the college. The faculty is responsible for approving and recommending candidates for baccalaureate degrees and for approving college curricula, as well as determining other academic matters of specific concern to the college.

The College Cabinet

Each college has a cabinet composed of the dean, the executive officers of departments administered in whole or in part within that college, and such other administrative officers as the dean may appoint. It meets on the call of the dean to advise him or her concerning administrative and policy matters.

Committees of the College

College committees are appointed by the dean or elected by the college faculty to be responsible for areas such as curriculum, academic standards, academic advising, instruction, and staff orientation and welfare. These committees, responsible to the dean and to the college faculty, report regularly on their activities.

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.

The Department Executive Officer

The executive officer of the department is responsible for directing the work of the department, preparing and administering the departmental budget, and recommending personnel actions involving members of the department. The executive officer has general supervision of the students in the department and is responsible for the submission of the faculty's course grades to the registrar at the end of each term. He or she is responsible to the dean of the college.

The executive officer's term of office may be either indefinite or fixed, the latter carrying the possibility of renewal. A person with an indefinite term is called a department head, while a person with a fixed term chairs the department. In either case, however, the individual's performance is evaluated periodically by the responsible administrative officials.

Personal Policies and Procedures

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 State 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. For the complete description of faculty leave policies, see the section on "Leave Policies." For information on the policies and options regarding the disbursement of salary checks, see the section on "Salaries and Benefits."

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 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, 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 department executive officer initiates a Staff Personnel Action Sheet (Form 111) which, when signed 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 Form 111 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 personal 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 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 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 P & S position may also be accorded adjunct faculty status by an academic department to carry out certain faculty responsibilities for that department.

In most other respects, the person is 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 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 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 probation 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 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 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 Form 111 and 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: (1) 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; (2) 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; (3) 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.

Evaluation of Faculty Members

Evaluation of the performance of faculty members is conducted annually for purposes of compensation review and at the appropriate times for purposes of award of tenure and promotion. It is the policy of Iowa State University that the results of all evaluations, including the annual evaluation, be reviewed with the individual faculty members. Such reviews should be viewed as occasions for informal communication between the appropriate administrator and the faculty member.

Evaluators and evaluation committees considering promotion and tenure recommendations should regularly solicit information from persons outside the department or departments involved, and outside the university, who possess special or unusual insights as to the qualifications of the individual candidates.

The initial evaluation for award of tenure takes place within the department, with review at each administrative level above the department. Review of departmental recommendations at the college level should involve faculty from outside the department concerned and should be designed to ensure adherence to institutional procedures and criteria and to prevent departmental

in-breeding, doctrinal conformity, or the spread of mediocrity. The evaluation procedures for award of tenure are those used for evaluation for promotion.

Evaluation of persons on joint appointment in two or more departments should be conducted jointly with involvement by each department in which the faculty member holds an appointment.

Policy on Tenure and Notification of Nonrenewal

(Approved by General Faculty 5/74)

Assurance of academic freedom is essential to a high level of academic excellence. Each faculty member must be free to carry out teaching, extension, and research responsibilities in a setting of commitment to scholarship and intellectual objectivity. A sound tenure policy with strong administrative support for academic freedom should afford an environment in which scholarship is given an opportunity to flourish.

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, and extension, (3) continuing evaluation of performance on the basis of areas of responsibility specified in the employment agreement, and (4) the awarding of tenure upon a satisfactory showing of scholarly performance in the appropriate functional areas. After award of tenure, a faculty member may be dismissed only for adequate cause. (See *Faculty Dismissal Procedures*.)

As affirmative action and tenure function at Iowa State University, they 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 sex, play no role in tenure, promotion, and salary decision.

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 accompanies appointment to the rank of associate professor and professor unless a probationary period for new appointees is clearly specified in advance or 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, the departmental recommendation as to tenure specifies the length of the probationary period, if any.

After the awarding of tenure, the appointment is continuous. Except for resignation or death of the faculty member, such appointments are terminable only for adequate cause as defined in the section, *Faculty Dismissal Procedures*, pages 25-27.

Tenure for Faculty Members in Administrative Positions

At Iowa State University, appointment to an administrative position does not carry academic tenure as such. Tenure is associated with appointment in an academic 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. The appointment of an individual from outside the university to an administrative position does not automatically guarantee tenure in a department.

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 shall 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.

Term of Probationary Service

The length of the probationary period, which may be no longer than seven years, must be specified at the time of the initial appointment. Although tenure is conferred upon an individual after seven consecutive years of continuous faculty service in a regular appointment at Iowa State University, the awarding of tenure should always be as a result of 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. A faculty member is advised, in writing, of the award of tenure at the time of its occurrence or within a reasonable time thereafter.

As a general policy, a minimum period of three years service is required for the granting of tenure. Recommendations for earlier awarding of tenure require documentation as being truly exceptional. Credit for prior faculty service at other institutions may reduce this minimum. The amount of time credited in each instance shall 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.

If a nontenured 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.

If a faculty member, whether tenured or nontenured, transfers from another institution, a probationary period may be established for the individual at Iowa State University up to the seven-year probationary period applicable generally, even though the total service in the faculty member's discipline may exceed seven years.

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 major change in assigned responsibilities might be one such circumstance.) 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.

A leave of absence from Iowa State of up to one year is included in the faculty member's probationary period. If the leave extends beyond one year, the length of the probationary period is subject to negotiation with the individual's department head and college dean.

The date that a 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.

Changes approved by Faculty Senate (5/4/93)

Standards 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*, and *Office Procedure Guide*, 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, preferably in writing, as clearly and specifically as possible, as part of the department's

personnel policies. Criteria shall be consistent with a commitment to excellence and appropriate to the standards of scholarship traditionally maintained at Iowa State University.

In general, changes in departmental mission should be gradual and thus be accommodated by respecting employment agreements with faculty members. In the event that marked changes in mission become imperative, such as a sharp reduction in departmental course load, financial exigency may necessitate actions with respect to both tenured and nontenured 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.

Recommendations for Promotion and Tenure

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 the procedures must be consistent with the procedures described herein. The document must be approved by the tenured and probationary faculty of the college, by the dean, and by the provost.

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 the procedures must be consistent with the procedures described herein.

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

Standards for Promotion and Tenure

(Approved by General Faculty 1/88)

Evaluation of a faculty member for promotion and/or tenure shall be based on criteria related to the individual's appointment responsibilities and activities, domestic and/or international, in the following four areas: (1) teaching; (2) research, scholarship, or artistic activities; (3) extension or professional practice; and (4) service. To be promoted and/or tenured, a faculty member must have demonstrated excellence in at least one of the first three areas and competence in the other areas relevant to his or her appointment. In all areas of activity, a faculty member must exhibit a strong sense of professional ethics.

The following paragraphs provide examples of ways in which excellence may be demonstrated in each area of evaluation.

Excellence in Teaching

Teaching refers to academic activities that promote learning among those individuals or groups with whom a faculty member interacts. Faculty members who excel in teaching exhibit their command over the subject matter in classroom discussions or lectures, and they present material to students in an objective, organized way that promotes the learning process. They present the subject matter with logic and conviction, and are able to awaken in students an awareness of the relationship of their subject to other classes, fields of knowledge, and cultures. They display concern and respect for their students. They are recognized by their students and university colleagues as persons who guide and inspire their students. They strive continuously to broaden and deepen their knowledge and understanding of their discipline, seek to improve the methods of teaching their subject, keep informed about new developments in their field, use appropriate instructional technologies, and prepare educational materials that are up-to-date and well-written. Their influence and reputation as teachers may be demonstrated further by student and peer evaluation as well as by authoring textbooks and by lectures and publications on pedagogy, by the publication of such instructional materials as laboratory manuals and videotapes, or by significant contributions to professional associations that seek to improve teaching.

Excellence in academic advising may serve to augment evidence of excellence in teaching. Faculty members whose teaching responsibilities include academic advising should interact constructively with their advisees. They are expected to be knowledgeable about scheduling and about curricular and extracurricular matters, to keep informed of current policies and procedures, and to aid students in making use of university resources to enhance their educational and personal development. They assist students in learning to make intelligent decisions for themselves. Evidence of excellence in advising may be demonstrated by student and peer evaluation, by advising awards, by active participation in local and national advising conferences and seminars, by writing and presenting advising papers, and by preparing in-house advising documents.

Excellence in Research, Scholarship or Artistic Activities

Faculty members who excel in research, scholarship, or artistic activities engage in creative work that is appropriate to their area of specialization and is respected by their colleagues and peers, both within and outside the university. They disseminate the results of their work through means appropriate to their specialty, such as publications, lectures, performances, and exhibits; and by participation in appropriate technical, professional, and scholarly societies that reflect their research or artistic reputations. They are aware of new developments and strive to broaden and deepen their knowledge and understanding of their specialties and, where relevant, related fields.

Excellence in Extension or Professional Practice

This area refers to those activities in which faculty members utilize 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. Such activities are most commonly the responsibility of faculty with extension appointments, but the assignments of other faculty members such as librarians, statisticians, and

clinical and diagnostic veterinarians may include significant responsibilities that should be considered in their evaluations. Examples of these activities include teaching extension courses; preparing informational and instructional materials; conducting workshops and conferences; consulting; acquiring, organizing and interpreting information resources; engaging in clinical and diagnostic practice; and participating in appropriate technical and professional associations. These activities may be local, statewide, regional, national, or international in scope.

Faculty members who excel in extension or professional practice demonstrate a high level of expertise in their discipline as well as the ability to instruct, inform, and assist their clientele. They are knowledgeable about current research and new developments in their discipline and demonstrate an ability to interpret, facilitate, or apply this knowledge to meet their clientele's requirements. When appropriate, they develop and maintain professional relationships with their clientele in order to identify and serve the needs of their clientele. To the extent appropriate, they should be involved in, aware of, and responsive to the information needs of the university's academic programs. They display leadership and initiative, and they are creative in the practical application of their discipline.

Service

Service contributions may be made in any one or more of the following: institutional service, professional service, and public service. Service alone, however, shall not serve as the basis for promotion and/or tenure.

Faculty members 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 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.

In addition, faculty members may make service contributions to technical, professional, and scholarly societies appropriate to their academic discipline. Peer judgment is needed to distinguish the contribution to such organizations that should be considered as service from those activities that reflect one's reputation in the areas of teaching; research, scholarship, or artistic activities; and extension or professional practice. Faculty members may also provide service, related to their professional expertise, to the public and to other agencies.

Qualifications for Academic Rank

Recommendations for initial appointment and promotion are based on evidence that the faculty member has met the qualifications for the rank to which he or she is to be appointed or promoted. Promotions in rank for A-base faculty ordinarily take effect at the beginning of the next fiscal year, and promotions for B-base faculty ordinarily take effect at the beginning of the next academic year; exceptions to these dates may be granted by the provost.

Assistant Professor

An assistant professor should have a strong academic record and ordinarily should have earned the accepted highest degree in his or 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

Competence is expected in all areas relevant to the faculty member's appointment responsibilities, with demonstrated excellence in at least one of the following: teaching; research, scholarship, or artistic activities; and extension or professional practice. There should be clear evidence that the individual has established a solid academic reputation and shows promise of further development and productivity in his or her academic career.

Professor

The rank of professor designates the faculty member as having achieved recognition as an outstanding member of the academic community and of his or her professional discipline based on sustained excellent performance in at least one of the three major areas of evaluation: teaching; research, scholarship, or artistic activities; and extension or professional practice. A professor shall have been recognized by his or her professional peers within the university, as well as nationally, for the quality of the contribution to his or her discipline.

Procedures for Promotion and Tenure Review

Department Review

Review for promotion and/or tenure begins at the department level. Each department must have a promotion and tenure committee composed of faculty members, which will examine information relevant to the evaluation of candidates for promotion and/or tenure. Any member of the review committee who has a conflict of interest with respect to a candidate shall not participate in the consideration of that individual, and candidates shall be informed in writing by the DEO of the identity of the members of the department review committee and any other departmental committees that will be involved in the evaluation.

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 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 in the department's promotion and tenure review process.
- The circumstances under which individuals may decline to be considered for promotion and/or tenure.
- 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 department promotion and tenure committee reports the results of its review, including all formal votes, in writing to the department executive officer (DEO). A Recommendation for Promotion form is then prepared by the DEO for each person who is recommended by the review committee for promotion and/or tenure. The DEO may also prepare Recommendation for Promotion forms for other candidates irrespective of the recommendation of the department review committee. The department review committee shall be informed of the DEO's recommendations. In addition, negative departmental recommendations for persons for whom tenure decisions are mandatory must be prepared and forwarded to the college dean.

The Recommendation for Promotion form comprises two parts: factual information regarding the nominee, including academic history, assignments and other pertinent activities, responsibilities, and achievements; and evaluation of the nominee's performance as it relates to the standards for promotion and tenure of the university, the college, and the department, and to his or her prospects for future development. The vote and report of the department review committee and the DEO's recommendation shall be included.

Each person reviewed for promotion and/or tenure shall be informed in writing by the DEO, before the department's recommendations are submitted to the college, as to whether a recommendation will be forwarded for that person and, if so, the nature of the recommendation or recommendations. Persons who are not being recommended by either the department promotion and tenure committee or the DEO, or both, shall be informed 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.

Each person for whom a recommendation is being forwarded to the college shall be given the opportunity to review the factual information to be submitted and to inform the DEO of any ways in which he or she believes this information to be incomplete or inaccurate.

College Review

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 shall review, for procedural correctness only, 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.

Each dean reviews the promotion and tenure recommendations from the departments and from the college committee and presents his or her recommendations to the provost, along with the recommendations of the college and department committees. The dean shall inform the DEOs of the recommendations he or she has forwarded with respect to the candidates recommended by their departments and the reasons for his or her recommendations, and the DEOs in turn shall inform the candidates.

University Review

The provost makes his or her recommendations to the president of the university, who makes the recommendations for the university to the Board of Regents. Following the Regents' action, the college deans provide official notification to the candidates and their DEOs.

Distinguished Professorship

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: (1) teaching and advising; (2) research, scholarship, or artistic creativity; an (3) extension, university service or professional practice.

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

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

University Professor

The purpose of the University Professorship is to recognize faculty members who have had a significant impact on their department 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 as a land-grant university. In short, a University Professor is an outstanding university citizen.

To be named a University Professor, a faculty member must be a tenured professor and have served on the Iowa State faculty for at least twenty years. Persons holding other titled professorships or endowed chairs are not eligible for this award.

Additional information concerning University Professorships, including the procedure by which persons are nominated and selected for the award, is presented in Appendix I.

Evaluation of a Faculty Member

Faculty members, including departmental administrators, are periodically reviewed, subject to the following considerations:

1. A review for performance appraisal and development, which may serve as a basis for determining merit salary increases, should be conducted each year.
2. The review will be conducted by the administrative officer of the department, section, or college. In departments with a large faculty, it may be desirable for the department executive officer to select several persons from each rank or select a group from each discipline to aid in this evaluation.
3. Following this appraisal, departmental and college officers are expected to discuss results of the performance ratings with each staff member, thus providing an opportunity for exchange of ideas that would be of benefit to the individual department and/or college.

Nominations will be reviewed by the committee of emeritus faculty identified by the Faculty Senate Committee on Professional Development. The committee will have a membership of one faculty representative from each college, each serving a three-year term, with the terms staggered to permit a three-year rotation. From the committee's recommendations, ratified by the Faculty Senate Executive Board, the Provost will select those to be sent to the President for final approval.

Also see *Policy and Procedures for Evaluating Oral Communication Competence*.

Evaluation of a Teaching Assistant

For information regarding the evaluation of teaching assistants, see *Policy and Procedures for Evaluating the Proficiency of Teaching Assistants*, Appendix F.

Also see *Policy and Procedures for Evaluating Oral Communication Competence*, page 70.

Evaluation of a College Dean

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

Evaluation of Central Administrators

For information regarding faculty review of central administrators, see *Review of Central Administrators*, Appendix D.

Leave Policies

Vacations and Holidays (Revision Approved by 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 thirty 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 twelve hours of sick leave for the month, up to a limit of twelve 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, 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, 16 Beardshear.

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.

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.

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 percent 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.

Emeritus Designation

(Approved by Faculty Senate 5/7/91)

The emeritus designation is a recognition of service to Iowa State University.

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 will, upon such retirement, be automatically 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 may also receive the emeritus designation at the last rank held. These nominations must be initiated by the faculty of the individual's department and be approved by the college and the Academic Council of the university.

Emeritus faculty members are listed by title in the university catalog; are maintained on university mailing lists; are afforded regular faculty privileges with respect to all events, activities, and services sponsored or provided by the university; and are provided limited office space when such space is available.

Persons retiring from administrative duties may, at the discretion of the president, retain their administrative title with emeritus designation added. A president, upon retirement, may be given the title "president emeritus" by the State Board of Regents.

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 or 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 Staff Personnel Action Sheet, including the signature of the faculty member who is resigning and, if possible, a statement of the reason for the resignation.

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. For persons on the summer session budget, the resignation date will be July 31.

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, (1) professional dishonesty in teaching, research, or extension activity, (2) demonstrated incompetence, (3) substantial and manifest neglect of duty, and (4) serious misconduct prohibited by official university policies. Included among these policies are the Statement of Professional Ethics, the Sexual Harassment Policy Statement, and the Uniform Rules of Personal Conduct at Universities Under the Jurisdiction of the State Board of Regents. Less serious violations of such policies are subject to sanctions short of dismissal, including reprimand and suspension. The State Board of Regents 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 (see section, "Faculty Grievance Procedures"), 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 State Board of Regents to employ and to dismiss members of the faculty of the Regent institutions. (Iowa Section 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 or 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 or 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 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 or her procedural rights. The faculty member shall be given a period of thirty 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. The 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 eleven faculty members as nominees for the hearing committee. All members of the college faculties as defined in Section 9 of the *Basic Document of the Faculty Senate*, 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 eleven 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. The Hearing

Initially, the hearing committee shall consider the formal charges and the faculty member's reply. If the faculty member waives his or 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. The Regents' Decision

Since the State 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 or 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 thirty 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 Website at: <http://www.grad-college.iastate.edu>.

Faculty Grievance Procedure

(Revision Approved by Faculty Senate 5/12/92)

I. 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: the administrative channel and the Faculty Senate Committee on Appeals channel. Faculty members may use either channel or both consecutively, but not simultaneously.

II. 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 state 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 in Section III.

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.

III. Appeal Through Faculty Senate Committee on Appeals

A. The Faculty Senate Committee on Appeals

Established by the Faculty Senate to consider appeals by any faculty member, the Committee on Appeals is composed of at least sixteen 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 Committee on Appeals 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 Faculty Senate Committee on Appeals (FSCA) shall vote on or participate in an investigation of an appeal of an action in which he or 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.

B. Procedures in a Faculty Appeal

1.
 - a. **Contacting the Committee:** Potential appellants should contact the Faculty Senate Office to obtain the name of the chairperson of the Faculty Senate Committee on

Appeals. 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.

- b. Filing an Appeal: The faculty member must (1) complete the Request for Study of an Appeal form, (2) sign a Release form, and (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.
 - c. 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 Committee 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 Faculty Senate Committee on Appeals 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 in III.B.4. above, a quorum of the Faculty Senate Committee on Appeals 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 an ad hoc investigative committee's tentative recommendations regarding disposition of the appeal. Upon returning to open session, a quorum of the Faculty Senate Committee on Appeals 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 Faculty Senate Committee on Appeals' 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 Faculty Senate Committee on Appeals.

C. Provost's Responsibilities

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.

D. Keeping Records

1. 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.
2. 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 after two years 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.
3. 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.

IV. Appeal to the Board of Regents

The faculty member's decision to use the Faculty Senate Committee on Appeals 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.

V. 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*.

Salaries and Benefits

Salary Policies and Procedures

Faculty salaries are determined annually on a merit basis and reflect evaluations of competence 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

In addition to the merit 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 the Office of International Students and Scholars, 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, personnel data sheet, 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 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 Retirement System 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 the Teacher's Insurance & Annuities Association (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 Section 125 of the Internal Revenue Code 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. 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 and

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, Workers' 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

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 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.

Professional Policies and Procedures

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.

Statement on Professional Ethics

(Changes approved by 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 or 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.

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 on Consenting Relationships and on Sexual Harassment.)

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 or her position, will bear a special burden of accountability if charges of sexual harassment arise. (See 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.

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.

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:

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

Prevention

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

- 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 2 years and 3 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 number 3. in this section.

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 or 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 (1) the nature of the allegations made against him or her, and (2) 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 Officer for Research Standards. The IC, including its ad hoc members, shall conduct a preliminary inquiry of the allegations to (1) determine whether sufficient evidence exists to warrant a formal investigation, or (2) 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 or 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 (1) 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, (2) one person from the charged individual's primary department, and (3) 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 the paragraph numbered 4. under "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 of item 1. of this section.
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 Conflicts of Interest

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

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

1. identifying conflicting non-university relationships
2. informing those with a need to know about conflicting relationships through disclosure
3. 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.

1. **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.
2. **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.
3. **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 on page 53).

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 DEO or immediate supervisor the nature and degree of such relationships.**

Two avenues for disclosure are available:

1. **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 ISU employee has an equity interest or a management role in a company supporting research.
2. **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 departmental executive officer for his or her approval.

Review of Disclosures

Departmental Level. A DEO is responsible for reviewing any disclosures made. If, in his or 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 or 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 or 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 or 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 or she can request that the disclosure be referred for review to the higher administrative level as described above. 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.

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 three forms:

1. university research is sponsored by the company
2. the company, in exchange for a fee, uses university facilities and/or equipment
3. the company employs individuals who are simultaneously university graduate students

In Case 1, 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.

In Case 2, 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.

In Case 3, 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:

1. An agreement signed by all interested parties that none of them perceive a conflict to exist.
2. 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.
3. 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.
4. 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. 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 and Scientific Handbook*.

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 or 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 Section 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 Section 68B.6.

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 or 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 or 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: (1) 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; or (2) 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.

Intellectual Property: Policies and Procedures

The Policy on University-Sponsored Education Materials, as approved by the Board of Regents (Appendix C), 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 Foundation, Inc. (ISURF). OIPTT provides educational services on issues related to intellectual property. ISURF owns and manages all Iowa State University intellectual property.

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 research 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 appendix J.)

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. The specific policy statement governing the rights to university-sponsored educational materials is presented in Appendix C.

ISU Code of Computer Ethics

(Endorsed by 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 Chapter 716A, Computer Crime, of the Iowa Code.

Improvement Programs

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 and dean, 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 if not on duty and not receiving salary from the university (for example, during the summer session). Faculty above the rank of assistant professor may not ordinarily 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.

Faculty Improvement Leave Program

(Revised by Faculty Senate 3/16/90)

The university recognizes that significant opportunities for professional growth and development are required periodically by faculty members and that the Faculty Improvement Leave Program is one of the best modes in which 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 Faculty Improvement Leave 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 FIL Program.

Criteria for Review

The criteria used to evaluate Faculty Improvement Leave Applications include:

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

Environment

Applicants for faculty improvement leaves are strongly encouraged to choose off-campus locations for their leaves. The environment into which a faculty member goes when on a faculty improvement leave 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.

Faculty improvement leaves may be used for a number of purposes. Examples of purposes include:

- Conduct Research and Scholarship. This 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 will presumably 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 faculty improvement leave.
- Priorities and Constraints. All members of the faculty employed half-time or more are eligible to apply for faculty improvement leaves. There is no arbitrary restriction on length of service in order to qualify for a faculty improvement leave. 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 faculty improvement leave in the past five years.

Evaluation

Early in the Fall Semester, the applicant submits a request for a faculty improvement leave to the DEO for departmental review, often by a committee. The request is sent, with its priority rating, to the dean for review by the faculty improvement leave committee of the faculty member's college. In some cases, the Dean may approve the leave 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. Announcements of leaves granted for the following academic year are made at the beginning of the spring semester.

Salary and Benefits

Anyone on faculty improvement leave will be paid up to six months' salary. The salary of persons on leave for more than six months will be prorated across the total period of the leave. 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. State law requires that a recipient of a faculty improvement leave return to the university for a period of twice the length of the leave or repay the state the compensation received during the leave.

Length of Leave

A faculty improvement leave may be no longer than twelve months. When leave 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 FIL application. Persons on B-base appointment are not eligible for leaves that include all or part of the summer session, but may include the summer period in their leave on an unpaid basis.

International Faculty Exchange Program

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. An application to participate in faculty exchanges is submitted on the faculty exchange leave form (available from the Office of International Affairs), and reviewed by all appropriate DEOs and deans. If approved at those levels, it will be submitted through the program director of the appropriate faculty exchange program to the Director for International Affairs for review. The International Exchange and Study Committee will then review all applications and make recommendations to the Director for International Affairs. Applications for the following academic year are due in departmental offices September 12. Exceptions to this deadline may be made by the Director for International Affairs when necessary and appropriate.

The criteria used to evaluate IFE applications include: (1) determination of the extent to which the exchange will enhance the future performance of the individual's duties as a faculty member; (2) a clear indication that the exchange will benefit the department and institution; (3) 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; (4) length of time since the most recent previous IFE (a minimum of two years from completion of previous IFE must have passed); and (5) evidence of the proposer's record of scholarly or creative activity.

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

An IFE program may be no longer than 12 months. 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 twelve months at full salary. If there is not a direct exchange, the time spent off campus will be considered to be a noncompetitive faculty improvement leave 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 or department. Salary support for P&S exchanges will be considered only if there is a direct exchange.

Foreign Travel Grant Program

Financial support for university-related travel to foreign countries, but not including Canada and Mexico, may, in some instances, 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 percent of the least expensive round trip air fare between Des Moines and the individual's destination.

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 the Office of International Students and Scholars.

Evaluation Criteria

Requests for foreign travel grants will be evaluated on the following criteria: (a) determination of the extent to which the foreign travel will enhance the performance of the individual's duties as a faculty member; (b) a clear indication that the foreign travel will benefit the department and the institution; (c) length of time since the most recent previous foreign travel grant (normally a minimum of two years should have passed); and (d) 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.

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:

- A. Long-Term research projects in a foreign location
- B. Shorter duration research or collaborative efforts, often involving several related activities such as lecturing, graduate student recruiting, fund-raising, etc.
- C. Presentations at foreign conferences
- D. Faculty exchanges involving an Iowa State University faculty member.

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.

A. Long-Term Research Projects

Evidence of support from other sources will strengthen one's application. One type of evidence would be a faculty improvement leave 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.

B. 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.

C. 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?

D. 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.

Application Process

The applicant submits his or her request for a foreign travel grant to the DEO for departmental review, often by a committee. 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. If approved, the request is then forwarded to the Faculty Senate Committee on Professional Development. Grant decisions are made by this committee and administered by the Office of International Students and Scholars. 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.

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 World Wide Web at URL <http://teach.admin.iastate.edu/CTE/>, or from the Center for Teaching Excellence (204 Lab of Mechanics, 515-294-2906).

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 Center, Room 5 Hamilton Hall, 515-294-6792 or on the World-Wide Web at <http://www.iastate.edu/~cip/Grants/other.html>.

Internship and Fellowship Programs

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

- a. The university will continue to encourage faculty professional development by making timely university-wide announcements of internal and external internship and fellowship opportunities.
- b. 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.
- c. 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.
- d. The university and individual colleges will maintain commitment to providing internal administrative internships in the various ISU administrative offices.

Following are the policies and procedures for administering the faculty internship and fellowship programs:

- a. 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.
- b. Nominations/applications for the internal internship programs will be administered consistent with the individual college policies and procedures related to the internship position.
- c. The preferred title will be "Administrative Intern to the _____" instead of "Assistant to the _____" or "Assistant _____".
- d. 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.

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 world wide web at http://www.provost.iastate.edu/faculty/facdev/big12_1.html.

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.

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 Provost's Office and the Center for Teaching Excellence, and guidelines for preparing and submitting proposals are available on the world wide web at <http://www.cte.iastate.edu/miller.html>.

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 world wide web at http://www.provost.iastate.edu/faculty/facdev/second_1.html.

Honorary Degrees

Iowa State University awards honorary degrees to celebrate and honor careers of extraordinary achievement in the commonwealth 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. For information about criteria and procedures, see Appendix E.

Instruction

Iowa State University has a strong commitment to excellence in its teaching activities, and quality 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, the conducting of seminars and workshops, participation in off-campus course offerings, and providing instruction as part of noncredit extension activities. In all areas for which the faculty member has instructional responsibilities, high quality of performance is expected.

Good teachers are made, not born. Acquiring the skills to be a good teacher is a developmental process, and the university recognizes that many new faculty members can benefit from the guidance of more experienced persons in developing these skills. Faculty members are therefore encouraged to seek help in 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.

For information on the [Center for Teaching Excellence](#) at Iowa State University.

Academic Policies

The academic policies of Iowa State University are published biennially in the *General Catalog*. Policies that have particular relevance for the faculty are summarized here, but the *General Catalog* should be consulted for detailed statements on policies and procedures.

Admissions Requirements

(Approved by Faculty Senate 2/28/91)

To be admitted to Iowa State University directly from high school, an applicant must (1) have graduated in the upper half of his or her high school class, and (2) 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 shall 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 (a) obtain a composite score of 24 or higher on the enhanced ACT or (b) attain the following combination of High School Rank and ACT scores. Comparable SAT scores can be substituted for the enhanced ACT scores.

HSRACT**

51	20
52	20

53	20
54	21
55	21
56	22
57	22
58	22
59	23
60	23
61	23
62	24

- * The means of fulfilling unmet high school course requirements will be communicated to students by college advisers.
- **The scale for HSR (high school rank) ranges from 1 to 100 with 1 being high. The highest possible ACT composite score is 36.
- 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.

Evaluation of Student Performance

Grading

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. 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 unremoved Incompletes for undergraduates are automatically changed to F's by the registrar after one calendar year or just prior to graduation, whichever is earlier.

Grades in a course must be submitted to the Registrar's Office within 48 hours after the time at which the final examination is scheduled. This 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. 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. 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.

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 *General Catalog*. 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 the entire final examination week and are expected to be available to students during that week for discussion of any matters pertaining to the final examination and final grade or to other aspects of the course.

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 *General Catalog*.

Special GPA Requirements

(approved by 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 (1) a rationale for the special requirement, and (2) 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 six-year cycle.

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 *General Catalog*.

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.

Academic Advising

Many faculty members have as one of their responsibilities the advising of undergraduate students, usually students majoring in their academic discipline. The adviser meets at least once each semester with the student to discuss the student's progress and to plan the schedule for the next semester. The adviser is also responsible for guiding 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 competence of its advisers and for the periodic evaluation of their performance.

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 by means of touch-tone registration or walk-through registration, 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. 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.

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.

More specific information on registration is available in the *Schedule of Classes*.

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.

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 *General Catalog* 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 must be done by the student.

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 *General Catalog*. 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 *General Catalog*.

Course Information

(Approved by 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.

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 the class being so informed.

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.

Ownership of Course-related Presentations

(Approved by Faculty Senate May 2, 1995)

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.

Attendance Policies

Class Attendance

(revised by Faculty Senate, 2/15/94)

Students are expected to attend class meetings as scheduled. Each instructor sets his or her policy with respect to 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 through 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.

Student Records

Iowa State University maintains various records concerning 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 *General Catalog* 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.

Procedures for Responding to Requests for Accommodations by Students with a Disability

Iowa State University seeks to provide a supportive environment for students with disabilities, which includes insuring that instructors respond appropriately to requests for accommodations for 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.

1. The student is responsible for initiating a request for an accommodation in a specific course. This should be done 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 doesn't have the completed

form, he or she should obtain it from the Disability Resources Office prior to the meeting.

3. 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 (515-294-1020). Information regarding the student's disability is confidential.
4. The meeting of the instructor and the student 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.
5. 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.

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 established a democratic procedure for reviewing the selection of required textbooks and other resource materials for (a) multi-section courses, (b) courses in which an unusually large number of textbooks is required, (c) instances in which the instructor of the course is author of a book required for that course, and (d) 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*.

Library Reserve

Books and other materials may be placed on reserve in the Parks Library for use by students in specified classes.

Revising Courses and Curricula

The *General Catalog* describes the curricula, majors, and courses offered by the university. The preparation of a new catalog, 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 State Board of Regents.

Prior to proposing a new course for inclusion in the catalog, 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.

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. If the student admits guilt, the instructor shall 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 shall 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.
3. 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 *General Catalog*.

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 *General Catalog*.

University 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. This program operates under authority from the General Faculty, which has approved its basic guidelines. 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.

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, as well as 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.

A select group of entering freshmen is admitted each fall into the Freshman Honors Program. These students enroll in an honors section of freshman English and a Freshman Honors Seminar; honors sections of several other freshman courses are also available to them. They must, however, go through the normal application and review procedure at the end of their freshman year if they wish to be admitted to a regular college honors program.

The Honors Program is housed in Osborn Cottage. Requests for information and application materials should be directed there. The chairs of the college honors program committees can also furnish information concerning the honors programs in their colleges. Faculty members interested in offering honors seminars or otherwise becoming involved in the program should contact the Honors Program office.

Computer Fee

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 *General Catalog* and noted in the *Schedule of Classes*, to alert students registering for the course that a fee will be charged for it.

Policy and Procedures for Evaluating Oral Communication Competence

(Approved by Faculty Senate 5/7/91)

The Iowa State Board of Regents' 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.

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 time frame 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

For information regarding student outcomes assessment, see *Policy and Procedures for Student Outcomes Assessment*, Appendix H.

Research

Research programs are generally administered through the academic colleges, the Agriculture and Home Economics Experiment Station, or the Institute for Physical Research and Technology. Implementation of research programs is carried out within departments and sometimes, within centers and institutes. Many centers and institutes are described in the *General Catalog* and in the *Graduate Catalog*.

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 Office, 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.

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) no later than 60 days after submission of a grant application. 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 and hard copy 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, 515-294-8507.

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 State 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.

Research Grants and Fellowships

Faculty members are eligible for several types of research grants and fellowships. Detailed information is available in the Office of Sponsored Programs, Room 221 Beardshear Hall.

Special Research Facilities and Services

Office of Sponsored Programs

The Office of Sponsored Programs 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.

The Office of Sponsored Programs maintains a Funding Information Library with directories and source material for both public and private funding and publishes funding opportunities in a section entitled "Research" in *Inside Iowa State*. It also provides funding opportunity information on the Web at <http://www.iastate.edu/~grants/sponprog.html>. Funding information seminars for both graduate students and faculty are conducted by the office staff during the year.

The Office of Sponsored Programs is located in Room 221 Beardshear Hall.

Statistical Laboratory

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.

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, and maintaining liaison with the Statistical Computing Section and the Computation Center on machine manipulation of coded data. Charges are made for operational services. Offices for the Survey Section are located in Room 219 Snedecor Hall.

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 computer. Offices for the section are located in Room 117 Snedecor Hall.

ISU Instrumentation Facilities for Biotechnology Research

A major university initiative has been the establishment and support of state-of-the-art instrumentation for biotechnology research. The Iowa State University Instrumentation Facilities 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 listed below:

Animal Gene Transfer Facility		515-294-4252 or 515-294-5541
Bessey Microscopy Facility	1 Bessey Hall	515-294-3872
Cell and Hybridoma Facility	1104 Molecular Biology	515-294-2472
Chemical Instrumentation Facility	1761 Gilman	515-294-5958
Confocal Microscope Facility	Veterinary Medicine	515-294-1011
DNA Facility	1184 Molecular Biology Building	515-294-1813
Fermentation Facility	1621 Food Sciences Building	515-294-0306
Grain Quality Laboratory	1547 Food Sciences Building	515-294-5387
Image Analysis Facility	1082 Veterinary Medicine	515-294-1011
Molecular Modeling Facility	122 Molecular Biology	515-294-7103
Nuclear Magnetic Resonance Facility	208 Molecular Biology Building	515-294-8540
Plant Transformation Facility	B423 Agronomy	515-294-4429
Protein Facility	1182 Molecular Biology Building	515-294-3267

Geographic Information Systems Facility (GIS)

The Geographic Information System (GIS) Support and Research Facility was established to support the use of GIS in research and education. GIS provides tools for the development, management, and analysis of digital spatial data bases. GISs have gained wide-spread acceptance and are being used in many fields at ISU, including: agriculture, design and planning, engineering, natural sciences, social sciences, and statistics. The Facility is currently involved in research projects with faculty from several departments across the university.

The GIS Facility provides hardware and software platforms, and technical services for researchers to use for GIS related projects. The Facility has seven Vincent workstations and a variety of input and output devices.

The Facility also provides support and periodic training for GIS software products. Software supported by the Facility includes the ARC/INFO GIS software, ERDAS for image processing, and Oracle for relational data base management.

The Facility is located in 218 Durham Center. For information and assistance, telephone 294-2279.

Engineering Research Institute Technical Services

The Engineering Research Institute Technical Services has complete machine shop and electronic shop facilities available to all departments by intramural purchase order. These shops will construct specialized equipment for both teachers and research workers. Maintenance and repair of laboratory and office equipment is also a service provided by these shops. The service facilities are located in the ERI Building adjacent to the Marston water tower.

The Machine Shop provides services for metal, fiber, plastic fabrication, and wood construction. In addition, it has an extensive inventory of specialized metals and parts. It also supports general service activities such as moving and equipment hookup.

The Electronics Services facility has capabilities for repair of microcomputer and peripheral equipment; and for repair, standardization and calibration of all types of electronic and scientific instruments.

Service information, costs, and other details can be obtained from the Engineering Research Institute Technical Services service desk in the ERI Building (515-294-5270) or from the Engineering Research Institute manager's office in 232B ERI Building (515-294-5322). Arrangements can be made to bring classes into the shop areas or for shop professionals to come into the classroom to assist with projects.

Extension

Iowa State University was founded to benefit the people of Iowa. The land-grant philosophy recognizes that each staff member has a "service" responsibility that accompanies his or her appointment to the faculty. This responsibility involves service to the public off-campus-service organized by the institutionalized ISU outreach program, Extension.

ISU Extension supplies balanced and unbiased education and information services to meet the demands of Iowa citizens. Extension also serves as a liaison between Iowa State University and the people of Iowa, this nation, and throughout the world. The long-standing commitment to Extension reflects ISU's commitment to share and expand university expertise. Extension programs are integrated with the teaching and research activities of the colleges and help integrate and inform the programs of these colleges.

From its beginnings in 1903-more than 10 years before federal legislation created a national system-ISU Extension has helped Iowans apply research findings in problem-solving contexts.

Extension's growth has mirrored the university's, attracting new clients and partners, including businesses, municipalities, nonprofit organizations, other educational institutions including the community colleges, as well as groups and individuals beyond Iowa's borders sharing Iowans' interests and needs.

ISU faculty, staff, and administrative units are encouraged to work with Iowa citizens, professional colleagues, scientific associations, and in general to be active participants in the scientific and educational community. ISU Extension provides services to the citizens of Iowa that extend beyond the general outreach responsibilities of the Regents institutions. Extension is the organized outreach program of the University and has a fundamental role in the ISU land-grant mission.

For ISU and other land-grant universities, extension had its beginnings in the structured partnership with county, state, and federal government- the Cooperative State Research, Education, and Extension Service of the U.S. Department of Agriculture. Federal and state laws formalize this partnership and the accompanying expectations.

ISU has broadened Extension to engage the full capacities of the university in serving Iowa. Making cooperative extension a part of a university-wide extension program has brought more diverse funding sources and a wider range of opportunity for supplying education and information services to Iowa citizens.

Iowa State University views excellence in extension as essential in becoming the premier land-grant university. Success in extension will stimulate added college-based and informal outreach, adding to the engagement of the university with the constituencies that it serves. As a result, Iowa citizens receive more services and have greater opportunity to influence the teaching, research, and extension programs of ISU.

ISU Extension's county offices are the front door to ISU for Iowans. Citizens can walk into or call the extension office closest to them to obtain educational materials, answers to questions about their businesses, families, or communities, and information about ISU credit and noncredit courses. Through extension, Iowans can connect with satellite downlink programs, the Iowa Communications Network (ICN), the Internet and World Wide Web, and have access to more than 3,000 publications.

Extension consistently demonstrates a commitment to helping Iowans make better decisions by providing research-based information in problem-oriented formats and settings. By offering options, extension helps citizens better evaluate alternative actions and identify the best strategies for their particular situations.

ISU Extension:

- has an office and staff in every Iowa county (two in Pottawattamie County). These 100 offices provide Iowans easy access to ISU and a local presence for the University. Staff in every county routinely interact with campus faculty and other university experts to respond to issues and concerns.

- partners with Iowa Community Colleges, locating area offices at North Iowa at Mason City, Kirkwood at Cedar Rapids, DMACC at Ankeny, Indian Hills at Ottumwa, Western Iowa Tech at Sioux City, and Hawkeye at Waterloo. These area offices provide a broad array of interinstitutional and student services.
- serves clients external to ISU through six program areas-ISU Extension to Agriculture and Natural Resources; Business and Industry; Communities; Families; 4-H Youth Development; and Extended and Continuing Education. Extension services are problem-oriented and by nature multi-disciplinary. Extension programs are designed to meet the demands of Iowa citizens in the context in which the issues arise. Working together, these program areas define the broad scope of extension.

ISU Extension to Agriculture and Natural Resources

Connecting Iowa's farmers and agribusiness with research-based information, specialized consultations, and advanced educational opportunities is the fundamental objective of extension's agriculture and natural resources program. Campus staff and field specialists connect with the 100,000 grain producers, 40,000 livestock producers, and 20,000 agribusiness personnel to enhance the value of Iowa's \$21 billion agricultural industry and to protect the natural resource environment. Extension's commitment to agriculture and natural resources is demonstrated by initiatives for livestock competitiveness and environmental quality; natural resources and sustainable agriculture; improving the farm business; optimizing GPS and electronic-based information systems; and farm safety.

ISU Extension to Business and Industry

Extension offers Iowa manufacturing firms specialized work force education and technical assistance for improved decision-making and competitiveness. Extension responds yearly to more than 1,000 requests from Iowa's 6,000+ small and mid-sized manufacturers. Extension's commitment to business and industry is demonstrated through the work of the Iowa Manufacturing Technology Center (IMTC) and the Center for Industrial Research and Service (CIRAS) and the initiatives they undertake to assist Iowa business and industry leaders in anticipating change and positioning for the future. IMTC partners include Des Moines Area Community College (DMACC) and all the Community Colleges; Iowa State University and CIRAS, the Center for Advanced Technology Development (CATD), the Institute for Physical Research and Technology (IPRT), and the Small Business Development Center (SBDC); and the Iowa Department of Economic Development. These partnerships reflect the commitment of ISU Extension to bring the full capacities of Iowa's education and research institutions to improve competitiveness.

ISU Extension to Communities

ISU Extension to Communities assists Iowans in making their communities better places to live and work. A progressive community environment is essential for economic and social progress. To grow and develop, communities must be attractive places to live. Extension helps community groups recognize their assets, identify opportunities, and design strategies to meet their needs. In

recent years, extension's community development programs touched individuals in approximately two-thirds of the state's towns, cities, and counties. Extension is committed to communities, assisting and facilitating assessment, community-based health care and other public services planning, leadership training, and improved governance, and supporting development initiatives. The Fire Service Institute is a special program of Extension to Communities, serving Iowa's 871 fire departments.

ISU Extension to Families

Extension strengthens Iowa's more than 1 million families by providing education and information services that help them reach their full potential. Last year, ISU Extension to Families worked with 90,000 participants in noncredit workshops, conferences, and educational meetings about family life, resource management, and nutrition and health. In addition, 53,000 Iowans received immediate information and education through calls to extension's family-related telephone hotlines. Extension's commitment to families is demonstrated by activities in family financial management, healthy family programming, child care, parenting and resource management, and family policy. A new initiative of the Extension to Families program is to assist state and local government with welfare reform.

ISU Extension 4-H Youth Development

Extension programs for young people address the critical issues facing youth in a world of changing family structures, schools, and communities. Activities help young people develop life skills they will need as successful adults—setting goals and thinking through the steps to reach them, expressing ideas, dealing with change, gaining experience in both leadership and team roles, practicing consumer decision making. ISU Extension's 4-H Youth Development program connects with 116,000 youth (one in every five in Iowa) in grades K-12. Extension's commitment to 4-H and youth is demonstrated through the community club program; the Extension-Science, Engineering, and Technology (E-SET) initiative; experiential learning, violence prevention programs, and life skills; the Iowa 4-H Education and Natural Resources Center; and base line projects in animal science, home economics, and other areas.

Extended and Continuing Education

The Extended and Continuing Education program supports ISU faculty and staff in developing and delivering off-campus credit programs, and noncredit conferences and seminars. Both help meet the lifelong learning needs of Iowans. These programs are offered via the Iowa Communications Network (ICN), the World Wide Web, and through videotapes shipped directly to students. Extension's commitment to Extended and Continuing Education is indicated by the Credit Course Sponsor Program for marketing distance education. Extension field staff serve as local contacts to put a human face on distance education. The local sponsors promote and mentor specific distance education offerings in their communities. Fully-accessible adult education for all citizens is a goal of ISU Extension. Actively working with the community colleges, the private colleges, and the Regents institutions, ISU Extension expands the Iowa Communications Network (ICN) through additional community-based sites, and develops a coordinated effort promoting each institution to its best advantage.

General University Policies and Procedures

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, it is suggested that the employee 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 also responsible for abiding by the university's official policies presented in this section.

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*.

Gifts

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 which have or are seeking a contract with the university, or otherwise will be affected financially by the performance of the state employee's duties.

The following are the major exceptions to the gift law:

- Informational material relevant to the employee's duties:

Gifts which are donated within thirty days to charity, to a public body (including the University) or to the Department of General Services;

Gifts which 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 are excepted only for the portion of the time the employee is in travel status because of that active participation;

- Inheritances and gifts from relatives.

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.

Open Meetings

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. That policy can be found in Appendix B. (*Iowa Code*, Chapter 21)

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 or 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

Non-Discrimination/Affirmative Action Policy

(June 1, 1998, Reaffirmation)

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, it 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 herein recommits itself to comply with all federal and state laws, regulations, and orders, including the policies of the Iowa Board of Regents, which pertain to nondiscrimination and affirmative action.

All administrators and personnel providing input into administrative decisions are directed to 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 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 base employment decisions so as 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.

Further, 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 persons 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 Universitys commitment to nondiscrimination and affirmative action is of the highest priority and is to 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.

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, 515-294-7612.

Sources of Support

The Affirmative Action Office 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 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.

In addition to the Affirmative Action Office and the Margaret Sloss Women's Center, 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 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.

Accordingly, 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. 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.

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.*

* 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 (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education; (2) 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 (3) 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 or 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 (1) third parties are adversely affected in academic or employment matters because of a consensual relationship between others; (2) where a consensual relationship creates a hostile and intimidating work or learning environment for third parties; or (3) 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 or 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 she or he 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 she or he 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:

- A. Providing information about sexual harassment and options for addressing it.
- B. 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 or 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.
- C. 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.
- D. 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 or 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 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 she or he 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.* 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.

* A complaint against the President will be referred to the Board of Regents for investigation and disposition.

The unit administrator to whom the AAO report has been submitted must notify the AAO in writing as to whether he or 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 or 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 ninety 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 or she deems may raise a serious question of risk for an employee or a student, or which he or 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 or 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 or 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 she or he 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.

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*.

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 Chapter 68B of the *Code of Iowa* 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 State 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 OPG.

Iowa State University Policy on Conflicts of Interest

See *Faculty Handbook*, Research, p. 48.

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 State Board of Regents, which pertain to providing a drug free workplace.

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.

It is the responsibility of each employee to abide by the terms of this policy and notify 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.

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.

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 the employee's 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.

University 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. Each person in a supervisory or management capacity is responsible for the provision and maintenance of safe working conditions in his or 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.

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 on Smoking

Policy Statement

The University recognizes that tobacco smoke is a hazard to the health of its students and employees. 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 and Iowa State Center buildings during events that are not University-sponsored. Smoking in vehicles owned or leased by the University is prohibited. Smoking in University housing and at outdoor events on campus is restricted to designated areas. To the extent possible, the University will provide access to cessation programs to help students and employees who present use tobacco products.

Guidelines

1. 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 will be allowed in designated private rooms or apartments in University housing, and smoking will be allowed in Iowa State Center in designated areas during events that are not University-sponsored.
2. 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.
3. Smoking is prohibited in vehicles owned or leased by the University.
4. Smoking at outdoor events (specifically including those in the stadium) are restricted to designated areas, preferably not in seating or assembly areas.
5. 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.
6. Visitors to Iowa State University are covered by this policy as temporary members of the University community.
7. 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 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.
8. Enforcement: All University students and employees are expected to share the responsibility for enforcement of the policy. In situations where individual students or employees are unable to resolve a dispute, the departmental executive officers and/or building supervisors will attempt resolution. Problems still unresolved at that level may be referred to Environmental Health and Safety for assistance and interpretation of the policy, and, if necessary, to higher administrative levels of the University.
9. Smoking Cessation: The University encourages its students and employees not to use tobacco products, and as resources permit, will provide access to smoking cessation programs.

Rules of Personal Conduct

The State Board of Regents, 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.

1. 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.
2. Neither violence nor the threat of violence has any place in a university.
3. Freedom of inquiry and freedom of expression are indispensable elements of academic life.

4. 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.
5. The exercise of this freedom to dissent must not interfere with the rights of others.
6. 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*.

Policy and Information References

The Iowa State University *General Catalog*, 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. The *Graduate Catalog* duplicates the information in the *General Catalog* relevant to the graduate programs, as well as providing more detail concerning Graduate College policies and procedures.

The *Faculty Handbook* provides a description of university structure, function, policies, and procedures. It is issued every three years under the supervision of the provost and is furnished to each member of the faculty.

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 as policy or procedure changes are made.

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. (At the request 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 manner and detail in which the budgets of academic departments are prepared for disclosure and distribution shall be decided by the faculty of each department.)

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 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 *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.

Travel Regulations

Travel

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.

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.

Professional Meetings and Expenses

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.

Expenses on University Business

Detailed information explaining university travel policies and procedures and 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 Home Page under Policies & Handbooks or from the Vice President for Business and Finance Home Page. In addition, bound copies of the Guide can be found in all administrative and departmental offices.

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 which are not university responsibilities.

Travel Authorization Form

A Travel Authorization form is required only to purchase an airline ticket or to change the date of an airline ticket. The Accounting Office no longer requires a travel authorization for in-state or out-of-state travel where no airline tickets are to be purchased; however, departments and colleges may set their own internal policies.

The university has a contract with Travel and Transport (133 Welch Avenue) as the principal agency through which tickets and travel services should be purchased. Purchases of airline tickets by travelers' personal funds are not reimbursable except in emergencies or a change in itinerary while enroute.

To process a Travel Authorization, the traveler must follow these procedures:

1. The traveler must complete and submit the Travel Authorization form to the departmental executive officer (DEO) for review and signature.
2. One copy of the Travel Authorization with the DEO's signature should be faxed to Travel and Transport (515-292-8952) within 24 hours after the reservation has been made. Reservations expire within 24 hours, and no ticket will be issued without a copy of the Travel Authorization. Travel Authorizations may also be delivered to Room 218 Beardshear Hall to be picked up by Travel and Transport's courier at 3:00 p.m. each day.
3. Other copies of the Travel Authorization should be forwarded by the DEO to the office of the appropriate dean, director, or vice president for review and approval. In addition, approval of the Provost is required for trips of more than 14 consecutive days and for travel by deans and others who report directly to the Provost.

Travel Expense Voucher Form

Employees and students of Iowa State University may be reimbursed for other travel expenses with a Travel Expense Voucher. Detailed instructions for completing the form can be found at Section 9.7 of the Iowa State University Office Procedure Guide. The Guide describes the university's travel policies, including the requirement for receipts and reimbursement for mileage, lodging, car rentals, and meals.

To avoid any misunderstandings regarding travel expense reimbursement, travelers are advised to contact the Accounting Office (515-294-5181) before departure.

Services

University Library

General Information 515-294-3642

Library Hours 515-294-4849

URL <http://www.lib.iastate.edu>

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 ten public service desks. These desks include the Reference Desk, the Reserve Desk, Interlibrary Loan, the Circulation Desk, the Periodical and Newspaper Room, the Microforms Center, the Media Center, Special Collections, the Map Room, and Document Delivery/Photoduplication. In addition, instruction in the use of library resources is offered to graduate and undergraduate students.

SCHOLAR, the Library's on-line information system, provides access to the local on-line 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 WWW Home Page (<http://www.lib.iastate.edu>) 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.

The Parks Library has a limited number of research studies 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.

Center for Teaching Excellence

204 Lab of
Mechanics

515-294-2906

URL <http://www.cte.iastate.edu>

The Center for Teaching Excellence (CTE) reflects Iowa State University's commitment to educational excellence. CTE promotes an environment that 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.

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 in order to share information and methods about learner-centered teaching, educational technology, and the scholarship of teaching;
- funding and supporting 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 colleges to develop and implement programs that promote teaching and learning;
- sponsoring speakers and events that bring faculty and staff together to engage in open and lively discussions about teaching and learning;
- participating in individual, confidential consultations with faculty members who want to improve or add to their teaching skills;
- awarding two Teaching Faculty Fellowships to two 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.

Computation Center

The Computation Center, located in the Durham Center, provides instructional and research computing for the university. Support ranges from microcomputing and local area networking to supercomputing and wide-area networking. Systems include Project Vincent running Unix and various Macintosh and Windows/ DOS microcomputers. Some of the Centers support areas and services are listed below. Much more information can be found at the Centers Web site at <http://www.cc.iastate.edu/>.

The Solution Center, 195 Durham Center (515-296-6000), provides a central resource to answer computing-related questions, with a special emphasis on getting connected to the Internet. Connectivity can be anything from requesting Ethernet to getting help with site-licensed

software, some of which is available at no charge to the ISU community (e.g., Netscape, Eudora, Telnet, FPT, Network News, and anti-virus software, among others). The Solution Center can help users set up e-mail, Web browsers, and other network applications.

The Center provides management and support services for Project Vincent, a project providing high-end computing resources for instruction, research, and development with more than a quarter terabyte (approximately 300 gigabytes) of public centralized disk storage supplementing local and private disk storage. More than 950 high-performance workstations--DEC stations (Unix), Alpha AXPs, and SGI machines --are distributed across campus and are networked to a fiber network backbone operating at 100 megabits per second. In conjunction with the off-campus network connection, the system provides computation capabilities for supercomputing, visualization, and numeric computation.

Project Vincent (Unix), Macintosh, and Windows/DOS computer labs in the Durham Center have 24-hour access and, except for scheduled short courses, are available for general ISU faculty, staff, and student use. Each system has access to the Internet. Additionally, almost every office and lab on campus is equipped with a data jack that provides access to the campus data network, supporting connections for workstations, microcomputers, and terminals using serial line connections and high-speed data networks. Remote modem access to the campus network is also supported.

Service areas of the Computation Center include the Microcomputer Product Center (MPC), which provides remarketing and consulting support for a variety of microcomputer hardware and software as well as selected workstations. Along with the educational discount, the MPC provides consultants and sales people to help with selection and a showroom with representative demonstration models. The MPC also sells academic discounted software and many peripherals. Computer Repair Service provides maintenance for microcomputers and peripherals. Solution Center and other systems support specialists are experienced and up-to-date in the support and service of the systems sold here.

The Center offers short courses and seminars to acquaint faculty, staff, and students with the use of the available resources. Documentation is available for reference, checkout, or sale. A regular newsletter announces scheduled short courses and informs users of the available services and facilities. For a no-charge subscription, stop by the Solution Center. For an online version, read it on the Web at <http://www.cc.iastate.edu/newsletter/>.

For more information on these and other services, contact the Solution Center by phone at 515/515-296-6000 by e-mail at solution@iastate.edu; or in person in 195 Durham Center. Or check the Computation Center's Web page at <http://www.cc.iastate.edu>.

Instructional Technology Center

The Instructional Technology (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 provide 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.

The media technology services available from the ITC include media design and consultation, instructional development, interactive courseware development (multimedia), film/video library materials, audio and video recording/projection, media equipment and facilities, computer graphics and display preparation, publications design and layout, videotape duplication and sales, satellite downlinking, media production, distance education support, and educational technology information. Descriptions and rates for these services are presented in brochures available from the Instructional Technology Center, 121 Pearson Hall.

Printing Services

Printing Services provides all printing-related functions to academic, administrative and support departments, faculty members, staff-affiliated organizations, and students. These services include digital duplication, offset printing, computer publishing, bindery, and mailing. Eight satellite copy centers provide convenient, localized assistance to departments. In addition, commercial print buyers purchase commercial printing for university departments. Payment is usually made through intramural purchase order, standing order, or your ISU Card. An up-to-date user's guide can be obtained by calling 515-294-3601. We urge you to contact us to discuss your printing and copying needs; we're here to help.

Printing offers one- and two-color offset printing and related work for brochures, fliers, posters, NCR forms, stationary items and saddle-stitched and perfect bound booklets. We also offer laminating (including large format), collating, stapling, three-hole punching, binding and folding services. The Xerox Docutech provides digital printing from scanned or digitally stored documents. The Docutech can provide cut and paste capabilities, reduction/enlargement capabilities as well as on-line finishing capabilities. The Docutech is accessible through the university Ethernet system. For assistance in accessing the network call 515-294-3601. Addressing and mailing services are also available. Mailings are addressed from existing university address files or from departmental computerized files. Paper stock inventory includes recycled paper in a wide variety of colors and weights; for a complimentary stock book call 515-294-3601. Printing Services assists with business cards, letterhead, envelopes and related stationery items, and provides production services for minor revisions to existing publications of any type. Copy-editing and proofreading services are also available. Our Computer Publishing area offers walk-in, drop-off, and network access to full electronic pre-press services. Along with high resolution (1200 to 3048 dpi) Postscript imagesetting and photo-quality, color output, one-on-one and group consulting is available to help with electronic publication and graphic design. A full-color, large format printer provides output capability up to a maximum size of 36" x 9'.

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. This unit provides planning, estimating, specification writing, bidding, and production coordination for printing projects that require commercial printing applications. For assistance call 515-294-3601.

Pick Up and Delivery Available: Main Plant 515-294-3601
Copy Centers 515-294-7072

Locations

Main Plant	Printing & Publications/Kooser Drive	515-294-3601
Copy Centers	8 Memorial Union	515-294-7072
	17 Curtiss	515-294-5217
	Hub	515-294-5218
	W184 Lagomarcino	515-294-8036
	426 College of Design	515-294-9297
	14 Physics	515-294-1973
	10 Ross Hall	515-294-8299
	109 Scheman	515-294-7691

Purchasing Department

The Purchasing Department provides procurement services for the teaching, research, outreach, and administrative activities of the university. Purchasing is charged with maintaining the public trust and handling procurement activities ethically and in compliance with state laws, federal regulations, and Regent and university policies. This includes utilizing 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.

With the exception of specific delegated procurement authority, e.g., payment authorization vouchers (\$1,000) or departmental direct entry of purchase orders up to a specified dollar amount (currently \$1,000), employees may not commit university funds to outside vendors, without prior approval of the Purchasing Department. Supplies should be procured intramurally from the following stores, when the stores operations can supply the desired products: office supplies from the University Book Store, chemicals/laboratory gases and supplies from Chemistry Stores, and a wide range of miscellaneous supplies from Central Stores.

Conflict of Interest/Purchases From Employees

1. Purchases of Goods or Services from Employees
 - a. Under State Board of Regents policy and Iowa Administrative Code rules, no Iowa State University "employee", (see b. 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.

- b. "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."
 - c. 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.
 - d. 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.
 - e. 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.
 - f. 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.
2. Federal Guidelines: Code of Conduct
- a. 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 or her immediate family, his or 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.

Test and Evaluation Services

Test and Evaluation Services, a division of the Computation Center, provides four key services to support faculty and staff in class management: (1) scoring and computer analysis of objective tests, (2) computer-assisted test assembly and test-item banking, (3) within-class test record keeping, and (4) consultation on classroom teaching and evaluation. Other services include the processing and analysis of data from optical mark sheets for student evaluation of faculty instruments and for surveys or research data collection.

Traffic and Parking

Registration of motor vehicles parked on campus by staff members is required. The process is administered by the Department of Public Safety Parking Division. Upon payment of appropriate fees, parking privileges are available to faculty members employed on a permanent budgeted appointment. Faculty employed on a temporary or nonbudgeted appointment may apply for a temporary general parking permit that is valid for two weeks. Permits are required and are issued upon application by 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 262.69 Code of Iowa and 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. Staff appeals are heard by the Traffic Appeals Board, a group of faculty and staff appointed to hear such 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.

Transportation Services

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.

Faculty and staff members may call the Transportation Services dispatcher (515-294-1882) 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. Intramural Purchase Orders should be received by Transportation Services at least five (5) working days prior to departure.

University-owned vehicles are for official use only and may not be driven by undergraduate students unless they are employed by the University or accompanied by a staff or faculty member. Transportation Services reserves the right to refuse to issue a vehicle to an individual on the basis of past misuse.

Occasionally, sufficient vehicles will not be available to meet all requests. When this happens, assignments will be determined according to chronological receipt of intramural purchase orders or phone-in reservations using standing orders.

For additional information please refer to the University Office Procedure Guide under the Travel Policies section.

Flight Service

University aircraft for both out-of-state and in-state travel are available to all personnel traveling on university or state business. Flight Service is an excellent choice for ten passenger jet prop service or five passenger pressurized cabin aircraft service. Reservations can be made by calling the Iowa State FlightService at 515-232-5536. See the Facilities Planning and Management webpage for additional information (<http://www.fpm.iastate.edu/>).

Travel to Des Moines Airport

Faculty and staff, when traveling on behalf of the university, can be reimbursed for commuter bus fare or for mileage from the campus to the airport (84 miles round-trip), plus parking upon submission of parking receipt. For travelers electing to drive, there are three parking lots at the Des Moines International Airport. They are short term, long term, and economy parking. An alternate lot, operated by Keck Parking, Inc., is across the street from the airport and charges a lower daily rate, will be reduced if ISU identification is presented. Direct shuttle service is provided from the parking lot to the terminal building. In those cases where travelers are not able to leave their personal vehicles at the airport, or where the length of the trip makes parking fees a substantial cost, reimbursement will be allowed for two round-trips from Ames to the Des Moines airport. For additional information please refer to the University Office Procedure Guide under the Travel Policies section.

Student Help

Members of the faculty who wish student help in the laboratory, office or home may call the Financial Aid and Student Employment Office, Room 12 Beardshear Hall.

Faculty Identification Cards

The university provides each member of the faculty with an identification card for general identification, but it is especially designed to be used in checking out materials from the library. A request for this card should be made to the office of the dean of the faculty member's college.

University Public Safety staff patrol campus buildings in the evenings and on weekends to ensure the security of items and safety of persons within the buildings. Persons in a building after it is locked may be asked by Public Safety personnel to show identification and are expected to comply with such requests.

University Museums

The University Museums office 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 and pottery, porcelain, glass, Russian enamels, carved jade and ivory, and dolls. A museum store at the entrance to the Brunnier Art Museum sells art and 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. Exhibits of Victorian furniture and other museum-quality home furnishings-including glass and tableware, quilts, and Oriental carpets-are displayed in authentic settings. Special holiday events are scheduled during December and family events throughout the year.

The Art on Campus Collection includes indoor and outdoor public art exhibited throughout the Iowa State campus. A brochure containing information about the art, the artists, locations, and viewing hours is available for self-guided tours. Guided tours also are available.

For more information or viewing hours, call or stop by the University Museum's office, 290 Scheman Building, 515-294-3342 or check the museum web site at <http://www.museums.iastate.edu/>.

Appendix A

BASIC DOCUMENT OF THE IOWA STATE UNIVERSITY FACULTY SENATE

Approved by General Faculty 5/8/87
Last Amended 11/5/96

Preamble

The General Faculty hereby creates the Faculty Senate to act as its representative body, and to conduct the business of the General Faculty. In so doing the General Faculty affirms the principles of shared governance, recognizing the central role of cooperation in collegial decision-making.

Section 1. Name and Character

This body shall be known as the Faculty Senate of Iowa State University, and shall represent the interests of the total faculty. It shall be an elected body.

Section 2. Purpose

The Faculty Senate shall:

- a. Have legislative responsibility for general academic and educational policy for the University.
- b. Facilitate communication between the faculty and the students and the administration.
- c. Cooperate with the administration in conflict resolution.

Section 3. Functions

The functions of the Faculty Senate shall be:

Legislative. The Faculty Senate shall have legislative responsibility for the proposal, review, and modification of educational and academic policies and procedures of the University, including: admission requirements, graduation requirements, curriculum and course revisions, degree programs, and grading procedures and policies. It shall recommend candidates for diplomas, degrees, and certificates to be conferred by the President of the University.

The Faculty Senate must approve any additions to, or changes in, university educational and academic policies and procedures. In the formation and review of educational and academic policies and procedures, the Faculty

Senate shall work collaboratively with the University administration and with all faculty members. Policies and procedures approved by the Faculty Senate must be submitted to the President of the University for review and presentation to the Board of Regents for final approval. In the event that the President of the University does not approve a recommendation from the Faculty Senate, the President of the University will inform the Faculty Senate of the reason for his or her objection and every effort will be made to resolve the difference. The Faculty Senate must then vote again on the issue, either in the same or in modified form, and

inform the President of the University of its final decision. If the difference cannot be resolved, the President of the University will present to the Board of Regents the administration's recommendation with respect to the issue in question as well as presenting the Faculty Senate's position.

Advisory. The Faculty Senate will be advisory in other areas of the University, as they relate to the academic and educational interests or to the general welfare of the faculty.

On its own initiative or in response to expressed concerns of faculty members, the Faculty Senate may conduct studies related to the general welfare of the faculty and shall make recommendations to the President of the University.

Conciliatory. When necessary, and on its own initiative, or in response to expressed concerns of faculty members, the Faculty Senate will conduct investigations to assist in resolving conflicts among faculty, the students and the administration. Such investigations may be requested by the faculty, the students, and/or the administration.

The president of the Faculty Senate shall present a written annual report to the General Faculty and the President of the University in May of each year.

Notwithstanding any other provisions of the Basic Document, the Faculty Senate shall speak only for the faculty of the University, confining its activities to matters directly concerning Iowa State University, its administration, faculty, staff and students.

Section 4. Organization

- a. **Officers.** The officers of the Faculty Senate shall consist of president, president-elect, and secretary. The officers shall be members of the Faculty Senate and shall be nominated and elected by the Faculty Senate in accordance with procedures established in the Faculty Senate Rules and Bylaws.
- b. **Executive Board.** The Executive Board shall prepare the agenda for all Faculty Senate meetings. The Executive Board shall bring to the Faculty Senate in a timely manner all recommendations of Faculty Senate Councils, as defined in Section 4c, and any other matters deserving Faculty Senate attention, consideration, or action. The Executive Board shall act for the Faculty Senate when the Faculty Senate is not in session and shall report such actions to the Faculty Senate at the next meeting.

The voting members of this board shall be the president, president-elect, and secretary of the Faculty Senate and one senator from each college. The college representatives shall be nominated and elected by the senators of their respective colleges. The President of the Faculty Senate shall chair the Executive Board. The chairs of Faculty Senate Councils, as defined in Section 4c, and the Provost shall be non-voting ex-officio members of the Executive Board.

- c. **Councils.** Councils of the Faculty Senate shall facilitate communication and cooperation among Faculty Senate committees during preparation and timely forwarding of issues to the Executive Board for Senate action. The voting members of each Council shall be members of the Faculty Senate, and shall consist of a chair and one senator from each college. The Chair of each council shall be nominated and elected by the Faculty Senate. The college representatives of each council shall be nominated and elected by the senators from their respective colleges. The chairs of Faculty Senate committees, as defined in Section 4d, shall be non-voting ex-officio members of the Faculty Senate Council to which they report.
- d. **Committees.** All Faculty Senate Committees necessary for conducting the business of the Faculty Senate shall be under the auspices of a Faculty Senate Council and shall report to their respective Faculty Senate Council. Any member of the faculty, as defined in Section 9, may chair or serve on Faculty Senate Committees, Sub-Committees, and ad hoc Committees.
- e. **Organization Changes.** The Faculty Senate may establish and dissolve Faculty Senate Councils and Committees as necessary. The Executive Board may appoint non-faculty voting members to Faculty Senate committees when appropriate, with the approval of the
- f. **Faculty Senate.** The procedures by which Faculty Senate Councils and Committees shall be created and dissolved will be specified in the Faculty Senate Rules and Bylaws. The Faculty Senate may specify additional ex-officio representation on Faculty Senate Boards, Councils and Committees in the Faculty Senate Rules and Bylaws.

Section 5. Membership

Membership in the Faculty Senate shall be determined as follows: each department shall be entitled to one senator to be elected by the faculty of the department; each college shall be entitled to one at-large senator; each college shall be entitled to additional at-large senators, one senator for each 100 faculty over 100, with those senators to be elected at-large by the college faculty.

Once established, the number of at-large senators per college will remain constant until a periodic re-adjustment occurs in years ending in 0 or 5, when faculty numbers as of December 1 of the preceding year will be used to determine new representation. In the event that a college's number of at-large senators decreases, incumbent senators will serve out their term without replacement until the adjustment is accomplished. If a college's number of at-large senators increases, the increase will be effective at the next election. Representation of a new college or department will be effective at the next election. In the event a college or department is dissolved, representation will cease as of the effective date of the dissolution.

To facilitate communication, the Provost, the Chair of the Professional and Scientific Council, the Chair of the Supervisory and Confidential Council, the President of the Government of the Student Body, and the President of the Graduate Student Senate or their designees shall serve as non-voting, ex-officio members of the Faculty Senate.

Section 6. Term

The term of membership on the Faculty Senate shall be three years, except when the Faculty Senate establishes a shorter term in order to comply with Sections 7 and 11. Members shall serve the term for which they were elected or until their successors have been elected and have taken office. Newly elected senators shall be seated at the last regular meeting of the spring semester following the "old business" section of the agenda. No member shall be elected for more than two full terms in succession.

Section 7. Continuous Body

The Faculty Senate shall be a continuous body. Approximately one-third of the Faculty Senate members will be elected each year.

Section 8. Definitions

For purposes of the Faculty Senate, the terms "department faculty" and "college faculty" shall include all persons holding regular and adjunct appointments in the following academic ranks: professor, associate professor, assistant professor and instructor. "Department" is defined by the University Catalog. "College" is defined by the University Catalog and excludes the Graduate College.

For purposes of voting and membership in the Faculty Senate, a department shall be regarded as belonging to only one college and a person shall be regarded as on the faculty of only one department and college. Persons with split appointments shall declare their departmental affiliation in accordance with procedures established by the Faculty Senate, outlined in the Faculty Senate Rules and Bylaws. Each jointly-administered department shall determine the college with which it wishes to affiliate for the sole purpose of determining voting and membership on the Faculty Senate. The department affiliation shall be communicated in writing to the President of the Faculty Senate. A department that is part of more than one college may change its affiliation, but no such changes will take effect until the next election for the seat being held by a member of that department. Any changes in affiliation must be communicated in writing to the President of the Faculty Senate by November 1. College affiliation is binding with regard to departmental and at-large Senate elections.

Section 9. Eligibility of Faculty Senate Members

All members of department and college faculties as defined in Section 8, are eligible for election to the Faculty Senate with the following exceptions: (1) those who are completing the second of two consecutive terms in the Senate and (2) deans, associate deans, assistant deans and those central administrative officers whose duties are judged to be primarily administrative. These central administrative titles are listed in the Faculty Senate Rules and Bylaws.

Senators from the various departments and colleges shall be members of the college with which they are affiliated. Change in department or college affiliation by a departmental senator and/or college senator-at-large before the expiration of her/his term shall disqualify that senator for the

remaining part of the term for which she/he was elected. This unexpired term shall be filled according to the provisions of Section II.

Section 10. Nomination and Election of Senators

Departmental and at-large senators shall be elected by the faculty of the respective departments and colleges once each year in the spring term according to procedures established in the Faculty Senate Rules and Bylaws. These procedures shall ensure that:

- a. every elector will have an opportunity to nominate by written petition a candidate for each position for which the elector is eligible to vote;
- b. the times and manners for holding elections shall be fixed in the Rules and Bylaws but all elections shall be written, secret ballot; nominations shall require the written approval of the nominee and the support of one faculty eligible to vote in Senate elections; elections shall be decided by majority vote;
- c. election will be by a simple majority of the votes cast;
- d. departments may choose to have their departmental senator positions added to the number of senator-at-large positions of the college with which they are affiliated. This choice must be communicated in writing to the President of the Faculty Senate by November 1 prior to the beginning of the next term for the departmental senator.

Section 11. Vacancies in Unexpired Terms

Whenever a senator is unable to serve the full term for which elected, an election of the affected constituency shall be conducted according to procedures established in the Faculty Senate Rules and Bylaws.

Section 12. Temporary Vacancies

In the event a senator is unable to attend a meeting of the Faculty Senate, the senator may designate a qualified substitute. No senator may designate a substitute to serve more than two (2) consecutive semesters. If a senator is unable to attend more than two (2) consecutive semesters, that senator's position will be declared vacant and subsequently be filled according to the provisions of Section 11.

Section 13. Dismissal

The Faculty Senate shall establish procedures for the dismissal of a senator for due cause, including, but not limited to failure to attend meetings (or provide a substitute as provided for in Section 12). Dismissal shall be by a vote of the Faculty Senate and shall require a two-thirds majority of those eligible to vote. Dismissal actions may be appealed by the affected senator to the senator's electing constituency within fifteen (15) days of the date of the dismissal action. Revocation of the dismissal action shall be by a majority of the constituency that votes. Positions vacant by reason of dismissal action shall remain vacant until the appeal process is completed.

Section 14. Meetings

The Senate shall hold regular monthly meetings at stated times during each term of the academic year.

The Senate shall hold special meetings upon call of the Executive Board of the Faculty Senate or upon written request of at least one-third of the members of the Faculty Senate. The Faculty Senate may invite any person to meet with it at any time.

Section 15. Procedures

The Faculty Senate may establish operating rules and procedures consistent with the provisions of this Basic Document by creating and amending Faculty Senate Rules and Bylaws.

Unless otherwise stated in the Faculty Senate Rules and Bylaws, the business of the Faculty Senate shall be conducted according to the latest edition of Robert's Rules of Order.

Section 16. Amendments

Amendments to the Basic Document may be initiated by the Senate or by at least twenty percent of the General Faculty. All amendments must be approved by a majority vote of the Faculty Senate before being submitted in writing to all members of the General Faculty at least twenty (20) class days prior to a vote during the regular academic year. The President of the University shall poll the General Faculty by written ballot. Amendments approved by a majority of those voting shall be adopted.

Section 17. Dissolution of the Faculty Senate

The Faculty Senate may be dissolved by action of the General Faculty. Upon petition to dissolve the Faculty Senate by one-third of the General Faculty eligible to vote, the president of the University shall immediately notify the General Faculty of the receipt of such a petition, shall call for a public meeting of the General Faculty to discuss matters pertinent to the petition, and then shall poll the General Faculty by written ballot within twenty (20) class days (but no sooner than ten [10] class days) during the regular academic year. The Senate shall be dissolved if approved by the majority of the General Faculty eligible to vote. If the Faculty Senate is dissolved, the business of the General Faculty shall be conducted by the General Faculty as a whole.

THE GENERAL FACULTY*

* This statement now appears in the Faculty Handbook, and will continue to appear as is.

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. The General Faculty is responsible for educational policies and procedures of the university, including admission requirements, graduation requirements, curriculum and

course revisions, new degree programs, and grading procedures. It also recommends candidates for diplomas, degrees, and certificates to be conferred by the President. Major changes in educational policy approved by the General Faculty must be presented by the President of the Board of Regents for final approval. The General Faculty is responsible to, and is chaired by, the President of the University. While the Faculty Senate 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.

RULES AND BYLAWS OF THE IOWA STATE UNIVERSITY FACULTY SENATE

Approved by General Faculty 4/11/89
Last Amended 11/5/96

Article I. Governance.

Section 1. The Basic Document of the Faculty Senate of Iowa State University defines the purpose and functions of the Faculty Senate and its membership and election procedures. These rules and bylaws are adopted pursuant to Section 15 of the Basic Document of the Faculty Senate of Iowa State University and use the definitions contained in the Basic Document.

Section 2. Senators are elected to directly represent faculty in their departments or on a college at-large basis. All members of department and college faculty as defined in Section 8 of the Basic Document are eligible for election to the Faculty Senate with the following exceptions: (1) those who are completing the second of two consecutive terms in the Senate and (2) deans, associate deans, assistant deans and those central administrative officers whose duties are judged to be primarily administrative. The current list of ineligible administrative titles includes: president, associate to the president, executive assistant to the president, provost, associate provost, assistant provost, vice-provost, associate vice-provost, assistant vice-provost, vice-president, associate vice-president, assistant vice-president, executive vice-president, dean, associate dean, assistant dean, director, associate director, and assistant director.

If a Faculty Senator assumes an administrative position with a title described above, the seat shall be declared vacant and filled according to procedures in Article IV, Section 2.

Article II. Election of Faculty Senate Officers, Executive Board, and Councils.

Section 1. The Faculty Senate shall elect its officers. The officers of the Faculty Senate shall consist of president, president-elect, and secretary. The president-elect shall serve a one-year term without vote in the Faculty Senate and then succeed to the presidency. The secretary is elected for a one-year term.

Section 2. The Faculty Senate shall elect a senator to serve as chair of each council for one year.

Section 3. At-large and departmental senators from each college shall elect by written ballot one of their members to serve on the Executive Board and each of the Faculty Senate Councils for one year.

Section 4. All elections shall be by written ballot and shall require a simple majority of the members present. Should there be more than two candidates for any office and none receiving a majority vote, the following procedure shall apply: After the first ballot, the candidate with the fewest votes shall be removed from the ballot; and this procedure shall continue in successive ballots until only two candidates remain.

Nominations for officers and chairs shall be received at the Faculty Senate meeting preceding the election. Additional nominations may be accepted from the floor at the time of the vote. Election of the president-elect shall be held at the January meeting of the Faculty Senate. Election of the secretary and council chairs shall be held at the March meeting of the Faculty Senate. Election of college representatives to the Executive Board and councils shall be completed by the April meeting of the Faculty Senate.

Section 5. Faculty Senate Officers, Council Chairs, Council Members, and Executive Board Members shall begin their terms of office after old business at the May meeting of the Faculty Senate.

Article III. Powers and Duties of Faculty Senate, Officers, Executive Board, and Councils.

Section 1. The president shall call regular meetings, and preside over each meeting of the Faculty Senate and the Executive Board. The president, with the advice and consent of the Executive Board, shall appoint faculty representatives to university committees where official faculty representation is designated and shall nominate faculty representatives to university committees where appointment of faculty thereof rests with other individuals.

Section 2. The president, with the advice and consent of the Executive Board, may create ad hoc committees where deemed necessary and shall report promptly the creation of such ad hoc committees to the Faculty Senate. Ad hoc committees shall be authorized only during a single academic year, but may be re-established by the next president.

Section 3. The president, upon recommendation of the Faculty Senate Committee on Committees and with the advice and consent of the Executive Board, shall appoint members to standing and ad hoc committees of the Faculty Senate, and shall designate chairs of such committees.

Section 4. The president, upon relinquishing the office, shall be available to the new president and Executive Board to provide information and advice during the period of transition from one administration to another. The past president may be invited to attend Executive Board meetings during this period.

Section 5. The president-elect shall assist the president and shall serve for the president in the latter's absence.

Section 6. The elected secretary shall be responsible for the supervision of the recording and distribution of agenda and minutes of all regular and special meetings of the Faculty Senate and the Executive Board; the supervision of the professional secretary and other support staff; and shall be responsible for the organization and maintenance of the Faculty Senate's permanent records.

Section 7. Provision shall be made for professional secretarial service to record the minutes and do necessary clerical work for the Faculty Senate, its councils, and committees.

Section 8. The Faculty Senate Executive Board shall:

- a. Provide leadership and planning for the Faculty Senate, especially in the preparation of the Senate's long-range and annual goals,
- b. Oversee and direct the preparation of the agenda for the Faculty Senate, ensuring that all issues recommended by Faculty Senate councils are docketed on the Faculty Senate agenda in a timely manner for action by the Senate,
- c. Act for the Faculty Senate when the Faculty Senate is not in session and report such actions for the Faculty Senate at the next meeting. This authority does not include changes in the Basic Document of the Faculty Senate; all amendments to the Basic Document must be approved by a majority vote of the Faculty Senate before being submitted in writing to all members of the General Faculty as provided in Section 16 of the Basic Document.
- d. Circulate among all members of the Faculty Senate minutes of the Executive Board meetings. The Executive Board shall be subject to the orders of the Senate, and none of its acts shall conflict with action taken by the Senate. The Senate can countermand any action of the Executive Board.
- e. Manage relationships between the Faculty Senate and the University Administration and other organizations, and
- f. Advise the president on the appointment of standing and ad hoc committee members and chairs.

Section 9. Faculty Senate councils shall report to the Faculty Senate Executive Board and shall:

- a. Facilitate communication and cooperation among Faculty Senate committees and coordinate committee activities to minimize duplication of effort,
- b. Ensure that issues are adequately prepared and that integrated policy proposals are submitted for Faculty Senate action,
- c. Forward issues to the Faculty Senate Executive Board in a timely manner, and
- d. Submit to the Faculty Senate an annual written report of committee accomplishments, activities, and pending issues.

Article IV. Election Procedures for Senators.

Section 1. The Council on Faculty Governance shall report to the Faculty Senate by December each year its recommendations for the yearly election, which shall include a list of department

and college at-large seats to be filled by election. When preparing this report, the council shall bear in mind:

- a. That Section 6 of the Basic Document allows for adjustments of the terms of office of the senators to be elected to implement Section 7 of the Basic Document, and
- b. That adjustments in college at-large representation are to be made in years ending in 0 and 5.

Section 2. When a president-elect has been selected by the Faculty Senate, the seat held by the individual shall be declared open, and the unexpired term shall be filled by election. Time served in the Faculty Senate as president-elect and president shall not be included when computing two full terms of service in the Faculty Senate.

Article V. Procedures

Section 1. Meetings shall be conducted according to the latest edition of Robert's Rules of Order, except when they conflict with Faculty Senate Rules and Bylaws. The president shall appoint a parliamentarian who need not be a senator and who shall be present at each Faculty Senate meeting.

Section 2. The president shall circulate an agenda for each meeting at least 48 hours prior to the meeting. The agenda shall be subject to amendment and shall be approved by the Faculty Senate at the beginning of the meeting.

Section 3. The agenda shall include the following:

- i. Call to order
- ii. Seating of substitute members
- iii. Approval of or amendments to agenda
- iv. Approval of or amendments to minutes of previous meeting.
- v. Announcements
- vi. Special reports
- vii. Calendar disposition
- viii. Old business
- ix. New business
- x. Good of the order
- xi. Adjournment

Section 4. Any member of the Faculty Senate may speak on any issue before the Senate. A non-member of the Faculty Senate may address the Senate upon recognition of the presiding officer, the invitation of the president or when approved by the Executive Board or a majority vote of the senators present. While resolutions must be introduced by members of the Senate, authors of resolutions who are not senators may be invited to address the Senate especially at the point of initial consideration.

Section 5. The Faculty Senate has legislative responsibility for the proposal, review and modification of educational and academic policies and procedures of the university. In addition to these responsibilities, the Faculty Senate has advisory responsibilities in other area of the University, as they relate to the academic and educational interests or to the general welfare of the faculty. When necessary, and on its own initiative, or in response to expressed concerns of faculty members, the Faculty Senate will conduct investigations to assist in resolving conflicts among faculty, the students and the administration.

Section 6. The President of the Faculty Senate shall convey by memo to the President of the University any Faculty Senate approval or disapproval of policy and procedural proposals.

Section 7. The Faculty Senate will work collaboratively with the university administration and all faculty members when forming educational and academic policies and procedures. When the President of the University informs the Faculty Senate that an educational or academic policy or procedure approved by the Faculty Senate is not approved by the university administration, the Faculty Senate will:

- a. Discuss the policy or procedure and the objections to it,
- b. Attempt to reconcile differences with the administration, and
- c. If necessary, vote again on the policy or procedure.

After such reconsideration, the President of the Faculty Senate will convey the results of the Senate's discussion to the President of the University. If the Senate reaffirmed its original decision, and internal resolution is impossible, the Faculty Senate may request resolution by the Board of Regents. In these cases, the President of the Faculty Senate may request to present the Faculty Senate's position, or the President of the University will present the administration's recommendation with respect to the question as well as presenting the Faculty Senate's position.

Section 8. All documents proposed for Faculty Senate consideration and action shall be assigned a registry number. This registry number shall consist of "ww-xxx/Syy-zzz". "WW" refers to the legislative academic year in which the issue was placed on the calendar of the Senate. The legislative academic year shall run from June 1 to May 31. "XXX" refers to a sequential number given to each issue entered into the Senate calendar. "S" indicates that the issue was docketed as a Senate resolution, and can only be added after the issue has been moved from the calendar to the docket. "YY" indicates the legislative academic year in which the issue was docketed for Senate action. The legislative academic year shall run from June 1 to May 31. "ZZZ" refers to a sequential number given to each issue docketed for Senate action. The reference to a document in Faculty Senate agenda and minutes shall include this identification number.

Section 9. An individual or group desiring Faculty Senate consideration of an issue shall put the issue in the form of a resolution signed by the petitioner and file the document with the Secretary of the Faculty Senate. The Secretary shall prepare copies of the resolution, with a Faculty Senate cover sheet listing the title of the issue, petitioner, calendar number, action options and space for a docket number, together with all supporting documents, as a file to be kept in the Faculty Senate archives, and then furnish each senator with a complete file along with an agenda and calendar forms. The resolution should present such facts as are needed to establish the

importance of the issue and to indicate its present status and should close with the standard phrase, "Therefore, be it resolved. . ." or some other form of specific proposal in which the petitioner shall clearly indicate the kind of action he/she deems advisable.

Each resolution enacted by the Faculty Senate shall contain provisions that stipulate: a) the individual or office charged with receiving and/or implementing the action entailed in the resolution, b) the action intended to ensue upon passage of the resolution by the Faculty Senate, and c) the date by which the action shall be completed and reported back to the Faculty Senate, including appropriate interim report dates.

Items from Councils/Committees submitted to the Faculty Senate for action shall be in the form of a report containing (1) a resolution for Faculty Senate action, (2) any original resolution(s) referred to the council/committee by the Faculty Senate, (3) rationale for any changes made by the council/committee to or in the original resolution(s), and (4) all supporting documents. The Secretary shall prepare copies of the report. The Secretary will then furnish each senator with a copy of the report with a Faculty Senate cover sheet listing the title of the issue, source committee(s) and council(s), calendar number, action options, and a space for a docket number. The Secretary will add one copy of the report and cover sheet to the original Faculty Senate archive file, or if the resolution or motion originated in a committee or council, a file will be established.

Section 10. Preparation of calendar and docket. The President of the Senate shall place the resolution by title, source, and registry number on the calendar of the Senate. The items then on the Senate docket shall be further coded as described above for registry on the docket. The Secretary of the Senate shall be principally responsible for seeing to it that the complete calendar and docket of the Senate, up-to-date, is available to senators and faculty through appropriate regular communication, including the University News. Supporting documents shall be available for inspection by any faculty member upon request to the Secretary of the Senate.

Section 11. Calendar to docket. At the opening of each session, before new business is called for, the Senate shall dispose of the items on the calendar. By majority vote, the senate can decide to:

- a. Place at the head of the docket out of regular order.
- b. Docket in regular order.
- c. Docket because of special circumstances for (date) and notify petitioner.
- d. Refer to (Faculty Senate Council).
- e. Refer to (University committee/council).
- f. Refer to (administrative officer.).
- g. Refer to petitioner with a request for a more specific proposal.
- h. Return to petitioner with a request for additional information and/or documentation.
- i. Return to petitioner with decision not to docket at this time.
- j. Other procedural disposition.

Members of the Senate may move any of the standard motions in order to transfer the item from calendar to docket, although they may move some other procedural motion if they choose. While

items on the docket will normally be considered by the Senate in the order docketed, upon request of a senator, with the approval of a majority of the Senate present, a change may be made in the order of consideration.

Section 12. A College Caucus shall be formed by the Faculty Senators within each college. The Faculty Senate Executive Board Member shall Chair the College Caucus. College Caucuses will meet at the request of their Chairs. Any Senator can request a Caucus meeting through the Chair. College Caucuses provide a communication link between the Faculty Senate President, the Faculty Senate Executive Board, and Faculty Senators. College Caucuses may be able to clarify positions and explore alternatives more fully than might be possible during the limited time of Senate meetings.

Article VI. Council and Committee Structure of the Faculty Senate.

The Faculty Senate may create or dissolve Faculty Senate councils and committees with the approval of a majority of senators eligible to vote. Membership on Faculty Senate committees and Faculty Senate representatives on university committees will be assigned by the President of the Faculty Senate with the approval of the Executive Board. The chairs of Faculty Senate committees are appointed by the President of the Senate with the advice and consent of the Executive Board. The following faculty senate councils and committees are hereby created.

Section 1. COUNCIL ON FACULTY GOVERNANCE.

Charge. Oversees the internal operations of the Faculty Senate; proposes for Faculty Senate approval and implementation procedures for Faculty Senate elections and the selection and/or election of faculty to councils and committees requiring faculty membership; and undertakes continuing review of the Basic Document of the Faculty Senate of Iowa State University, the Faculty Senate Rules and Bylaws, and the Faculty Senate Council and Committee System.

Membership. Voting: The voting members of the council shall be members of the Faculty Senate, and shall consist of one senator from each college and a chair. The college representatives shall be nominated and elected by the senators from their respective colleges. The chair shall be nominated and elected by the Faculty Senate. Additional members may be appointed by the President of the Faculty Senate and confirmed by the Executive Board. The vice chair and the secretary shall be members of the council and elected annually by the voting members of the council.

Non-voting: Non-voting, ex-officio members of the council shall be the chairs of the council's committees.

Section 1a. Committee on Committees

Charge. Conducts elections of faculty to the Faculty Senate and any university committee requiring an elected faculty membership. Recommends individual faculty members for appointment to Faculty Senate and university committees requiring faculty membership. Conducts interest surveys regarding faculty members' committee interests.

Membership. Voting: The voting members of the committee shall be a representative from each college and a chair. Four of the college representatives shall be appointed by the Chair of the Faculty Senate Council on Faculty Governance from the membership of the Faculty Senate Council on Faculty Governance. The chair and the other four college representatives shall be nominated by the President of the Faculty Senate and confirmed by the Executive Board. The length of term for committee members shall be limited to two consecutive three-year terms or the length of term of office on the council. The first set of appointees shall have their terms staggered so that one-third of the membership should be replaced annually. The chair shall be appointed for a two-year term, with the possibility of a maximum of two consecutive terms. If the chair is not a regular member of the council, he/she shall serve as a non-voting ex-officio member of the council. The secretary shall be a member of the committee and elected annually by the voting members of the committee.

Non-voting: The Chair of the Council on Faculty Governance shall be a non-voting, ex-officio committee member.

Section 1b. Committee on Governance Structure and Documents

Charge. Undertakes continuing review of the Basic Document of the Faculty Senate of Iowa State University, Faculty Senate Rules and Bylaws, and the Faculty Senate organizational structure. Responsible for working with Provost regarding revisions to the Faculty Handbook and orientation of new faculty senators.

Membership. Voting: The voting members of the committee shall be a representative from each college and a chair. Four of the college representatives shall be appointed by the Chair of the Faculty Senate Council on Faculty Governance from the membership of the Faculty Senate Council on Faculty Governance. The chair and the other four college representatives shall be nominated by the President of the Faculty Senate and confirmed by the Executive Board. The length of term for committee members shall be limited to two consecutive three-year terms or the length of term of office on the council. The first set of appointees shall have their terms staggered so that one-third of the membership should be replaced annually. The chair shall be appointed for a two-year term, with the possibility of a maximum of two consecutive terms. If the chair is not a regular member of the council, he/she shall serve as a non-voting, ex-officio member of the council. The secretary shall be a member of the committee and elected annually by the committee.

Non-voting: The Chair of the Council on Faculty Governance serves as a non-voting ex-officio committee member.

Section 2. COUNCIL ON ACADEMIC AFFAIRS

Charge. Coordinates the creation and consideration of policy in the area of academic affairs, including but not limited to: instructional policies, material scheduled for revision or inclusion in the Faculty Handbook, honors programs, and the academic calendar. Deals with all academic policies not within the jurisdiction of the Faculty Senate Committee on Curriculum and the Faculty Senate Committee on Academic Standards and Admissions. Coordinates the policy

proposals of the Faculty Senate Committee on Curriculum and the Faculty Senate Committee on Academic Standards and Admissions.

Membership. Voting: The voting members of the council shall be members of the Faculty Senate and shall consist of one senator from each college and a chair. The college representatives shall be nominated and elected by the senators from their respective colleges. The chair shall be nominated and elected by the Faculty Senate. Additional members may be appointed by the President of the Faculty Senate and confirmed by the Executive Board. The vice chair and the secretary shall be members of the council and elected annually by the voting members of the council.

Non-voting: Non-voting, ex-officio members of the council shall include the chairs of the council's committees and a representative from the Office of the Provost.

Section 2a. Committee on Academic Standards and Admissions

Charge. Considers policies and procedures related to academic standards, admissions and advising for prospective new students, transfer students, and enrolled undergraduates.

Membership. Voting: The voting members of the committee shall be a chair, the chairs of the academic standard committees of each college, a representative of the Faculty Senate Council on Academic Affairs, and two student representatives of the Government of the Student body. The length of term of office for the college representatives shall be determined by the individual colleges. The chair shall be nominated by the President of the Faculty Senate, and, following agreement to the nomination by the Provost, the nomination is confirmed by the Executive Board. The chair shall be appointed for a two-year term, with the possibility of a maximum of two consecutive terms. The representative from the Faculty Senate Council on Academic Affairs shall be appointed by the chair of the council for a renewable one-year term. The student representatives shall be nominated by the Government of the Student Body and confirmed by the Executive Board for renewable one-year terms. The vice chair and the secretary shall be members of the committee and elected annually by the voting committee members.

Non-voting: Non-voting, ex-officio members shall include one representative from each of the following offices: the Office of the Provost, the Vice-President for Student Affairs Office, the Admissions Office, the Office of the Registrar, the Minority Affairs Office, and the Office of Institutional Research.

Section 2b. Committee on Curriculum

Charge. Recommends university-wide curriculum standards, develops policies and procedures, reviews catalog offerings, and initiates discussions on future curriculum matters. The committee reviews college actions and recommends to the Faculty Senate actions it believes are in the best interest of the total university curriculum.

Membership. Voting: The voting members of the committee shall be a chair, the chairs of each college curriculum committee, a representative of the Faculty Senate Council on Academic

Affairs, a representative of the Government of the Student Body, and a representative of the Graduate Student Senate. The chair shall be nominated by the Faculty Senate President, and, following agreement to the nomination by the Provost, the nomination is confirmed by the Executive Board. The chair shall be appointed for a two-year term, with the possibility of a maximum of two consecutive terms. The length of term of the college representative shall be determined by the individual colleges. The representative from the Faculty Senate Council on Academic Affairs shall be appointed by the chair of the Council for a renewable one-year term. The student representatives are nominated by their respective student governing bodies and confirmed by the Executive Board for renewable one-year terms. The student representatives shall not be from the same college nor shall either student representative be from the same college as the faculty representatives of the Faculty Senate Council on Academic Affairs or the Graduate College.

Non-voting: Non-voting, ex-officio members include one representative from each of the following offices: the Office of the Provost, the Office of the Registrar, and the Publications Office.

Section 3. COUNCIL ON FACULTY DEVELOPMENT AND ADMINISTRATIVE RELATIONS

Charge. Addresses matters and recommends legislation with regard to academic freedom and responsibility; professional ethics; salary and appointment policies; promotion and tenure policies and procedures; fiscal and resource allocations; facilities and educational resources; faculty input into the appointment and review of administrative officers; faculty relationships including well-being, development, morale, supporting services and benefits; and other issues and proposals related to administrative relations.

Membership. Voting: The voting members of the council shall be members of the Faculty Senate and shall consist of one senator from each college and a chair. The college representative shall be nominated and elected by the senators from their respective colleges. The chair shall be nominated and elected by the Faculty Senate. Additional members may be appointed by the President of the Faculty Senate and confirmed by the Executive Board. The vice chair and the secretary shall be members of the council and elected annually by the voting members of the council.

Non-voting: Non-voting, ex-officio members of the council shall be the chairs of the council's committees.

Section 3a. Committee on Facilities and Educational Resources

Charge. Advises on all matters concerning facilities, grounds and other physical resources as they relate to instruction and research.

Membership. Voting: The committee shall have at least one voting member from each college, and a chair. When possible, at least four voting members should serve concurrently as Faculty Senate liaisons to or members of any of the university committees from which the committee

routinely receives reports. The chair and the committee members shall be nominated by the President of the Faculty Senate and confirmed by the Executive Board. The length of term for committee members shall be limited to two consecutive three-year terms. The first set of appointees shall have their terms staggered so that one-third of the membership is replaced annually. The chair shall be appointed for a two-year term with the possibility of a maximum of two consecutive terms. The vice chair and the secretary shall be committee members and elected annually by the voting committee members.

Non-voting: Non-voting, ex-officio members shall include one student representative appointed annually by the Government of the Student body, one student representative appointed annually by the Graduate Student Senate and two representatives of the administration appointed annually by the Provost.

Section 3b. Committee on Faculty Welfare and Development

Charge. Oversees current policies and develops new ones concerning the professional growth and general welfare of all faculty members at Iowa State University.

Membership. Voting: The committee shall have at least one voting member from each college and a chair. The chair and the committee members shall be nominated by the President of the Faculty Senate and confirmed by the Executive Board. An attempt shall be made to balance the committee with respect to rank. The length of term for committee members shall be limited to two consecutive three-year terms. The first set of appointees shall have their terms staggered so that one-third of the membership is replaced annually. The chair shall be appointed for a two-year term, with the possibility of a maximum of two consecutive terms. The vice chair and secretary shall be committee members and elected annually by the voting committee members.

Non-voting: The Provost may choose to appoint a non-voting ex-officio member to the committee. The chair of the Faculty Senate Committee on Professional Development shall appoint one member of the Committee on Professional Development as a non-voting, ex-officio member to the Committee on Faculty Welfare and Development.

Section 3c. Committee on Professional Development

Charge. Oversees and acts upon all matters and programs relative to the professional development of the faculty at Iowa State.

Membership. Chair: The chair is a non-voting committee member and is nominated by the President of the Senate and confirmed by the Executive Board. The length of term of office is a two-year term, with the possibility of a maximum of two consecutive terms.

Voting: The voting members of the committee shall be the chairs of the corresponding college committees with terms of office determined by the individual colleges. The vice chair and secretary are members of the committee and are elected annually by the voting members of the committee.

Non-voting: Non-voting, ex-officio members shall include one representative from each of the following offices: the Office of the Provost, the Office of the Vice Provost for Research and Advanced Studies, and the Office of International Affairs. These offices are represented because of their administrative interests in the Faculty Improvement Leave Program and the Foreign Travel Grant Program.

Section 3d. Committee on University Budget

Charge. Considers all budget matters, including sources of revenue, allocation of resources within the university, and relation of future budget requests to the Faculty Senate's initiatives and priorities. Emphasis should be on the identification of priorities and the long-term building of budgets. Committee should synchronize its activities with the budget cycle of the Iowa State Board of Regents.

Membership. Voting: The committee shall have at least one voting member from each college, and a chair. The committee members and chair shall be appointed by the President of the Faculty Senate with advice and consent of the Executive Board. The length of term of members shall be limited to two consecutive three-year terms. (Initial appointees shall serve staggered terms so that 1/3 of the committee is replaced annually thereafter.) The chair shall be appointed for a two-year term, with a maximum of two consecutive terms. The vice chair and secretary shall be members of the committee and elected annually by the voting members of the committee.

Non-voting: Non-voting, ex-officio members include the Chair of the Faculty Senate Committee on University Planning and one representative from each of the following administrative offices: the Office of the Provost, the Office of Institutional Research and the Office of the Vice President for Business and Finance.

Section 3e. Committee on University Planning

Charge. Identifies issues, makes suggestions, and reviews matters related to long-range planning for the university. Develops responses for the Faculty Senate in all matters relating to university planning, including setting priorities and suggesting alternative strategies for goal attainment. Reviews progress being made toward planning goals at the university level.

Membership. Voting: The committee shall have at least one voting member from each college and a chair. The committee members and chair shall be appointed by the President of the Faculty Senate with advice and consent of the Executive Board. The length of term of members shall be limited to two consecutive three-year terms. (Initial appointees shall serve staggered terms so that 1/3 of the committee membership is replaced annually thereafter.) The chair shall be appointed for a two-year term, with a maximum of two consecutive terms. The vice chair and secretary shall be members of the committee and elected annually by the voting members of the committee.

Non-voting: Non-voting, ex-officio members are the Chair of the Faculty Senate Committee on University Budget and one representative from each of the following offices: the Office of the Provost and the Office of Institutional Research.

Section 4.COUNCIL ON JUDICIARY AND APPEALS.

Charge. Maintains a system for faculty grievance; monitors the effectiveness of the faculty grievance process; recommends legislation to the Faculty Senate pertaining to the faculty grievance policy and procedures, faculty dismissal policy and procedures, and faculty misconduct policy and procedures; and works with the Provost in defining the procedural and policy interface between the faculty grievance process and the administration's jurisdiction.

Membership. The voting members of the council shall be members of the Faculty Senate and shall consist of one senator from each college and a chair. The college representatives shall be nominated and elected by the senators from their respective colleges. The chair shall be nominated and elected by the Faculty Senate. Additional members may be appointed by the President of the Faculty Senate and confirmed by the Executive Board. No member shall be a departmental, college or university administrator. The vice chair and the secretary shall be members of the council and chosen annually by the voting members of the council.

Section 4a.Committee on Appeals

Charge. Hears and works to resolve grievances from faculty who believe they have been treated unfairly with respect to salary, promotion, tenure, academic concerns, reduction in force or other matters relating to employment; makes recommendations for grievance resolution to the Provost, makes recommendations for changes in procedures as appropriate.

Membership. The voting members of the committee shall be a chair, all eight members of the Council on Judiciary and Appeals, and eight members selected from the faculty at large. An attempt shall be made to balance the committee, particularly with respect to rank. No member shall be a departmental, college or university administrator. The chair of the Council on Judiciary and Appeals shall chair the committee and serves a one-year term. The eight at-large members shall be nominated by the President of the Faculty Senate and confirmed by the Executive Board. The length of term of the committee members shall be limited to two consecutive three-year terms or the length of term of office on the council. The first set of appointees shall have their terms staggered so that one-third of the membership should be replaced annually. When the committee's workload warrants additional support, temporary members may be appointed by the President of the Faculty Senate, for a term no longer than one year. The vice chair and secretary shall be members of the committee and elected annually by the voting committee members.

Article VII. Seating of Senators-Elect.

Senators-elect shall attend the May meeting. They shall be seated as voting senators following the "Old Business" section of the agenda.

Article VIII. Substitute Participation

Section 1. The substitute for a senator designated under Section 12 of the Basic Document shall meet the qualifications described in Section 9 of the Basic Document, and shall be identified in writing to the president prior to the meeting or meetings for which substitution is to occur. This

substitution shall be announced at the beginning of the meeting. The substitute should be a member of the faculty constituency that elected the senator.

Section 2. If a substitute is designated for more than two consecutive meetings, the president may ask the substitute to assume appropriate duties.

Article IX. Dismissal from Faculty Senate.

Section 1. The Faculty Senate has the right to dismiss any member of the Senate for due cause. The two broad grounds for initiating dismissal procedures are: (1) violation of the Faculty Senate's Basic Document, Rules and Bylaws, and conduct deemed obligatory for a member of the Senate, as established by the Senate, and (2) conduct unbecoming a member of the faculty, such as violation of the Professional Ethics Statement, the Sexual Harassment policy, or any other university or civil violations that are ground for dismissal from the faculty (see Faculty Handbook).

Section 2. Dismissal procedures may be initiated by either a majority of the Executive Board or by 10% of the members of the Faculty Senate. A list of charges against the senator must be communicated to him/her in writing, as well as to all members of the Faculty Senate, at least 14 days prior to the Faculty Senate meeting at which the case will be debated.

Section 3. The Faculty Senate shall hear the charges against the senator, and the senator shall be given the opportunity to defend him/herself. A postponement of the hearings may be allowed, but for only one meeting beyond the meeting originally scheduled for the proceedings. In no case shall a final vote on dismissal be taken at the same meeting as the hearings themselves. The vote, conducted by secret ballot, and tabulated by the Council on Faculty Governance, shall occur at the next regular meeting of the Faculty Senate after the hearing. A two-thirds majority of those eligible to vote is required for dismissal.

Section 4. A senator dismissed may appeal his/her case to the senator's electing constituency and he/she may be reinstated, in accordance with the provision of Section 13 of the Basic Document.

Article X. Amendments.

These rules and bylaws may be amended by a majority vote of the Faculty Senate. Proposed amendments shall be presented in writing at any regular meeting prior to the meeting at which the amendments will be voted upon.

Appendix B

Open Meetings Law

Policy on Open Meetings

This is a revised statement on the application of the Iowa Open Meetings Law to the procedures which are to be followed by university councils and committees. 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.

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

1. 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.
2. 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 or she should maintain them in an orderly and up-to-date fashion. The designated custodian must allow anyone to inspect the minutes.
3. In the event that a committee or council chooses to exclude the public from a meeting, certain procedures must be strictly observed:
 - a. 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;
 - b. the vote of each member on the question of holding a closed session must be recorded in the minutes;
 - c. 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;
 - d. 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; and
 - e. no business may be discussed which does not directly relate to the specific reason announced as justification for the closed session.
4. A meeting may be closed, if necessary, for any of the following reasons:
 - a. (Confidential Records) to discuss records which are required or authorized by state or federal law to be kept confidential;
 - b. (Letters Patent) to discuss application for letters patents;

- c. (Discussion with Counsel) to seek legal advice or to discuss strategy with counsel in matters that are presently in litigation or where litigation is imminent;
- d. (License Examinations) 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;
- e. (Suspending a Student) 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;
- f. (Contested Case) to discuss the decision to be rendered in a contested case conducted according to the provisions of the Iowa Administrative Procedure Act;
- g. (Law Enforcement) 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;
- h. (Law Enforcement) 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.
- i. (By Request to Evaluate Professional Competence) 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; and
- j. (Real Estate Purchase) 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.

Appendix C

Policy on University Sponsored Educational Materials

Approved by the State Board of Regents, March 12, 1976.

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. Faculty improvement leaves 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 require 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

1. Iowa State University encourages the development of educational materials to assist in meeting its responsibilities for academic instruction, extension, and research.
2. 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).
3. The university recognizes the vested rights of an author under *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.
4. 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.
5. 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.
6. 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.
 7. Operational responsibility for university-sponsored educational materials is vested in the appropriate deans or their designated representatives.

Appendix D

Review of Central Administrators

1. Purposes. This review program has two primary purposes: (a) 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; and (b) 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.

2. 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 three parts: a self-study by the office to be reviewed; a faculty review of the office and its subunits; and 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.

3. 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 (a) goals, (b) programs, (c) services, (d) staffing, (e) resources, (f) internal evaluation processes, and (g) 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.

- a. 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?
- b. 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?
- c. 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?
- d. 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?
- e. 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?
- f. 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?
- g. 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.

4. 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:

- a. Chairperson: Appointed with the approval of the Senate.
 - b. Two members from the Faculty Senate's councils: Appointed one each from the Academic Affairs Council and the Faculty Development and Administrative Relations Council.
 - c. 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.
 - d. 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.
5. 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.
 - a. 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:

1. Office of the university president
 2. Office of the vice president for business and finance
 3. Office of the provost
 4. Office of the vice president for student affairs
 5. Office of the executive vice president
- b. 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:
1. publication in *University News* of a call for such opinions;
 2. 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;
 3. 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.

- c. 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.
1. Office Evaluation Report - This report will address the issues listed in section 3 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 (of, 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.

2. 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.

6. 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.

Appendix E

Policy for Awarding of Honorary Degrees

Iowa State University awards honorary degrees to celebrate and honor careers of extraordinary achievement in the commonwealth 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.

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/or creative activity consonant with the academic endeavors of the university.

An honorary degree shall be awarded only in exceptional circumstances. Awarding this degree need not be considered an annual occurrence.

I. Criteria for the Selection of a Candidate

- A. The primary criterion for the selection of a candidate is a career of superlative intellectual and/or creative activity.
- B. 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.
- C. Holders of elective or appointive public offices are not eligible for consideration until five years or more after they have vacated office.

II. Procedures for the Selection of a Candidate

- A. A committee of the Faculty Senate, the Committee for the Awarding of Honorary Degrees, will be chaired by a faculty member. It shall be responsible for inviting and reviewing all nominations and making written recommendations. The committee shall report in confidence its recommendations to the Executive Board of the Faculty Senate and the board will make its recommendations to the university president.
- B. The Committee for the Awarding of Honorary Degrees will draft Rules of Procedure and secure the approval of these rules from the Faculty Senate. Attention must be given to calendar, nomination procedures, and documentation of a candidate's qualifications.

- C. The committee will announce its procedures and its timetable for receiving nominations from the faculty in a timely manner.
- D. The committee will receive nominations only from members of the faculty. A nomination may originate from an individual faculty member, an academic unit, or from the collaborative efforts of the faculties from two or more departments.
- E. Special emphasis should be placed on securing nominations for female and minority candidates.
- F. A nomination which 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.
- G. . The committee should avoid involving the university in partisan politics.
- H. Each nomination will be handled with discretion and confidentiality.
- I. In the event that the university president does not accept a recommendation for an honorary degree from the Executive Board, s/he will communicate the reasons for not doing so to the Executive Board in a timely manner.

III. Procedures for the Award of an Honorary Degree

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

Appendix F

Policy and Procedures for Evaluating the Proficiency of Teaching Assistants

(Approved by Faculty Senate 5/7/91)

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.

Appendix G

Policy for Faculty Involvement in Evaluation of College Deans

(Approved by Faculty Senate 11/13/90)

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 two purposes:

- a. provide constructive and systematic faculty evaluation of college deans and their administrative organizations; and
- b. 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. a self-assessment by the Dean
- b. a performance evaluation of the Dean

- c. 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.

Appendix H

Policies and Procedures for Student Outcomes Assessment

(Approved by Faculty Senate 5/7/91)

Introduction

During their undergraduate years at Iowa State University, students are expected to improve their general intellectual skills, to attain competence in one or more academic disciplines of their choice, and to develop interpersonal and leadership skills needed for productive careers and effective citizenship. The faculty is responsible for designing curricula and instruction to achieve these goals. This instruction varies from structured classroom, studio and laboratory experiences to one- to-one contacts between individual faculty members and students, and may include extra-curricular programs of various types.

To determine the effectiveness of these educational experiences, two related questions must be answered: To what degree have students attained both their and the faculty's desired educational goals? And, how effective have various programs and experiences been in facilitating the learning and development of students? These are fundamental questions of student outcomes assessment. In order to evaluate the effectiveness of programs and to develop methods for improving learning and instruction, evidence must be collected on the degree to which the desired outcomes of the educational process have been attained.

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:

1. Focus primarily on the effectiveness of academic programs and the improvement of student learning and performance;
2. be based on incentives rather than regulations or penalties;
3. be developed in collaboration with the faculty;
4. be appropriate to the particular mission and goals of the institution;
5. use multiple methods of assessment;
6. be fiscally conservative and not impose costly programs on institutions;
7. 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.

1. 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.
2. The results of student outcomes assessment will be an integral part of the program review and strategic planning processes.
3. 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.
4. 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.
5. 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.
6. 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.
7. 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, 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. Program or department plans for assessment will be submitted by the department or other administering unit 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, 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. College plans for assessment will be submitted to the provost for review and approval.
 5. Assistance in developing and conducting assessment programs will be provided by the Office of Institutional Research and (if approved and funded) by the Center for Instruction. 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. The policies and procedures for outcomes assessment will be evaluated at the time of each unit's periodically scheduled program review.

Schedule for Implementation

March - May 1991	Development of university policy statement
May 1991	Approval of policy statement by Faculty Senate and provost; submission to Board of Regents
May 1991 - April 1992	Development of assessment plans by programs, departments, and colleges
April - June 1992	Review of plans by deans and provost
Fall 1992	Begin implementation of assessment plans by programs, departments, and colleges.

Appendix I

University Professor

Purpose: The purpose of the University Professorship is to recognize faculty members who have had a significant impact on their department 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 as a land-grant university. 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 undergraduates, 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, or having played other significant academic leadership roles. Above all, to be designated as a University Professor a faculty member must be an outstanding university citizen.

Eligibility: 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 twenty 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 for at least three years. Having held an administrative position in and of itself is insufficient for consideration for this award. Ordinarily the nominees would be individuals whose contributions extend well beyond a one-time impact. Faculty members holding other titled professorships or endowed chairs are not eligible for this award.

The Award: A limited number of University Professors will be named each year. The persons so named will receive a permanent increase of \$2,000 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.

Selection Process: Departments, colleges, or other faculty may make nominations for one or more persons using the criteria set out above. Nominations should be made to the appropriate college awards committee.

Each college awards committee will forward, in rank order, eleven copies of each nomination to the Faculty Senate Committee on Professional Development in proportion to the size of its faculty. 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:

College

Agriculture	3 nominations
Business	1 nomination
Design	1 nomination
Education	1 nomination
Engineering	3 nominations

Family & Consumer Sciences 1 nomination

Liberal Arts & Sciences 6 nominations

Library 1 nomination

Veterinary Medicine 1 nomination

Total Nominations 18

Documentation

The dossier of each nominee should include the 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 should also be included from faculty outside the nominee's department who can provide a critical evaluation of her/his contributions to the university. Both a complete curriculum vitae and information on the budgeted time of the nominee during the most recent five years must be included.

Appendix J

Trademark Management Policy

Trademark Licensing Program

310 Lab of Mechanics

515-294-4402

URL:<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:

1. 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;
2. To fulfill the legal obligation to protect the Marks;
3. To protect the consumer from deception or from faculty or inferior products and services bearing the University's Marks;
4. To provide fair and equitable treatment of all licensees; and
5. To realize and distribute earned royalties and other revenues for the benefit of the University.

Management

A. Legal protection and enforcement of the University's rights in the Marks is under ISURF's management.

B. 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.
 - a. 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; or
 - 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.

- b. 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; and
 - 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 can not 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.

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

C. 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.

1. 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.
2. 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.

D. 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.

E. Net revenues are distributed to University units under a policy determined by the University President. Distribution is approved by the ISURF Board of Directors.

Appendix K

Legend:

* Executive Board Member

+ Ex Officio Executive Board Member

FACULTY SENATE

President Denise Vrchota * 515-294-9718

President-Elect Dean Ulrichson * 515-294-6944

Secretary Christie Pope * 515-294-1284

Provost John Kozak + 515-294-0070

Agriculture

Ag Econ Michael Duffy * 515-294-6160

Ag Ed Greg Miller 515-294-2583

ABE Steve Hoff 515-294-6180

Agron Michael Owen 515-294-1923

An S Stephen Ford 515-294-1436

Ent Donald Lewis 515-294-1101

For Floyd Manwiller 515-294-1226

Hort Jeff Iles 515-294-0029

Plant Path Charlie Martinson 515-294-1062

At-large Alan Atherly 515-294-7133

At-large Palmer Holden 515-294-2240

At-large Forrest Nutter 515-294-8737

Business

Fin Gary Koppenhaver 515-294-8119

Acct Marvin Bouillon 515-294-9276

Mgmt Gary Aitchison* 515-294-8107

TRG

Mktg Roy Teas 515-294-8117

At-large James Werbel 515-294-8116

Design

CRP Duane Shinn 515-294-8979

Arch Mark Rakantansky 515-294-7132

Art Dorothy Fowles 515-294-8898

L Arch Gary Hightshoe 515-294-8942

At-large Gregory Palermo* 515-294-7163

Education

HHP Frank Schabel * 515-294-8728

CI Jackie Blount 515-294-4706

IEd/Tech John Dugger 515-294-8528

Prof St William Poston 515-294-9468

At-large

Engineering

At-large Edwin Jones * 515-294-4962

AE/EM Ganesh Rajagopalan 515-294-6796

Chem E James Hill 515-294-4959

CCE Max Porter 515-294-7546

ECE Stan Burns 515-294-3553

MSE Chris Schilling 515-294-9465

ME Dan Bullen 515-294-9580

IMSE Tom Barta 515-294-2378

At-large Al Austin 515-294-0753

Family & Consumer Sciences

T&C Mary Lynn Damhorst 515-294-9919

HDFS

FSHN Clark Ford 515-294-0343

FSCED Margaret Torrie 515-294-1733

HRIM Janice Dana 515-294-8552

At-large Grace Kunz * 515-294-7857

Liberal Arts and Sciences

At-large Veronica Dark * 515-294-1688

Anthr	Shu-Min Huang	515-294-7348
Bioch & Biophys	John Robyt	515-294-1964
Botany	Donald Farrar	515-294-4846
Chem	Robert Angelici	515-294-2603
Comp Sci	Suraj Kothari	515-294-7212
Geo Atmos	Carl Vondra	515-294-5867
English	Doug Catron	515-294-8869
Foreign Lang	Nelle Hutter	515-294-7541
History	Christie Pope	515-294-1284
JLMC	Barbara Mack	515-294-0485
Library	Phil Van De Voorde	515-294-6304
Math	Bryan Cain	515-294-8151
Music	Donald Simonson	515-294-3653
Naval Science	Gary Rogeness	515-294-0333
Philosophy	Michael Bishop	515-294-5084
Physics	Dennis Ross	515-294-6010
Political Sci	Ardith Maney	515-294-3824
Psych	Ron Peters	515-294-2322
Sociology	Peter Korsching	515-294-8322
Statistics	Peter Sherman	515-294-2423
Zoology	Jack Girton	515-294-0342
At-large	Tom Emmerson	515-294-0494

At-large	Mack Shelley	515-294-8346
At-large	Bruce Wagner	515-294-1282
At-large	Alan Wilt	515-294-6646
At-large	Martha Russell	515-294-7816
At-large	Gary Wells	515-294-6033
At-large	Ray Dearin	515-294-4826

Veterinary Medicine

Biomed Sci	Srdija Jeftinija	515-294-8494
Pathology	Yosiya Niyo	515-294-0875
Clinical Sci	Claudia Baldwin	515-294-4900
VDPAM	Brad Thacker	515-294-3837
MIPM	Chuck Thoen	515-294-7608
At-Large	David Hopper *	515-294-1770

Appendix L

FACULTY SENATE COUNCILS/COMMITTEES

President	Denise Vrchota *	515-294-5829
President-Elect	Dean Ulrichson *	515-294-6944
Secretary	Christie Pope *	515-294-1284
Provost	John Kozak +	515-294-0070

* Executive Board Member

+ Ex Officio Executive Board Member

Faculty Senate Council on Academic Affairs

Tom Emmerson, Chair Mark Rakatansky John Dugger

Forrest Nutter Janice Dana Ron Peters

Roy Teas Al Austin Claudia Baldwin

Ex-officio

Chair, Faculty Senate Academic Standards and Admissions Committee

Chair, Faculty Senate Curriculum Committee

Max Wortman, Chair, Faculty Senate Committee on Awarding Honorary Degrees

Edwin Lewis, Provost's Office

Faculty Senate Council on Faculty Development and Administrative Relations

James Werbel, Chair Gary Hightshoe Margaret Torrie

Palmer Holden Srdija Jeftinija Bill Poston

Ganesh Rajagopalan Nelle Hutter

Ex-officio

Grace Kunz, Chair, Faculty Senate University Planning Committee

Tom Chacko, Chair, Faculty Senate Professional Development Committee

Richard Carter, Chair, Faculty Senate Facilities and Educational Resources Committee

Shirley Gilmore, Chair, Faculty Senate Faculty Welfare and Development Committee

Lehman Fletcher, Chair, Faculty Senate University Budget Committee

Faye Whitaker, Provost's Office

Faculty Senate Council on Faculty Governance

Max Porter, Chair Marvin Bouillon Mack Shelley

Dorothy Fowles James Hill Floyd Manwiller

Mary Lynn Damhorst Jackie Blount Brad Thacker

Ex-officio

Joanna Courteau, Chair Faculty Senate Committee on Committees

Jim Hutter, Chair, Faculty Senate Governance Structure and Documents Committee

Faculty Senate Council on Judiciary and Appeals

Jack Girton, Chair Daniel Bullen

Stephen Ford Barbara Mack

Gary Koppenhaver Yosiyo Niyo Duane Shinn

Charges for Faculty Senate Councils/Committees

Faculty Senate Council on Academic Affairs

Coordinates the creation and consideration of policy in the area of academic affairs, including but not limited to: instructional policies, material scheduled for revision or inclusion in the Faculty Handbook, honors programs, and the academic calendar. Deals with all academic policies not within the jurisdiction of the Faculty Senate Committee on Curriculum and the Faculty Senate Committee on Academic Standards and Admissions. Coordinates the policy proposals of the Faculty Senate Committee on Curriculum and the Faculty Senate Committee on Academic Standards and Admissions.

Faculty Senate Committee on Academic Standards and Admissions

Considers policies and procedures related to academic standards, admissions and advising for prospective new students, transfer students, and enrolled undergraduates.

Faculty Senate Committee on Curriculum

Recommends university-wide curriculum standards, develops policies and procedures, reviews catalog offerings, and initiates discussions on future curriculum matters. The committee reviews college actions and recommends to the Faculty Senate actions it believes are in the best interest of the total university curriculum.

Faculty Senate Council on Faculty Development and Administrative Relations

Addresses matters and recommends legislation with regard to academic freedom and responsibility; professional ethics; salary and appointment policies; promotion and tenure policies and procedures; fiscal and resource allocations; facilities and educational resources; faculty input into the appointment and review of administrative officers; faculty relationships including well-being, development, morale, supporting services and benefits; and other issues and proposals related to administrative relations.

Faculty Senate Committee for the Awarding of Honorary Degrees

Invites nominations of honorary degree candidates and recommends awardees to the Faculty Senate Executive Board.

Faculty Senate Committee on Facilities and Educational Resources

Advises on all matters concerning facilities, grounds, and other physical resources as they relate to instruction and research.

Faculty Senate Committee on Faculty Welfare and Development

Oversees current policies and develops new ones concerning the professional growth and general welfare of all faculty members at Iowa State University.

Faculty Senate Committee on Professional Development

Oversees and acts upon matters and programs relative to the professional development of the faculty at Iowa State.

Faculty Senate Committee on University Budget

Considers all budget matters, including sources of revenue, allocation of resources within the university, and relation of future budget requests to the Faculty Senate's initiatives and priorities. Emphasis should be on the identification of priorities and the long-term building of budgets. Committee should synchronize its activities with the budget cycle of the Iowa State Board of Regents.

Faculty Senate Committee on University Planning

Identifies issues, makes suggestions, and reviews matters related to long-range planning for the university. Develops response for the Faculty Senate in all matters relating to university planning, including setting priorities and suggesting alternative strategies for goal attainment. Reviews progress being made toward planning goals at the university level.

Faculty Senate Council on Faculty Governance

Oversees the internal operations of the Faculty Senate; propose for Faculty Senate approval and implementation procedures for Faculty Senate elections and the selection and/or election of faculty to councils and committees requiring faculty membership; and undertake continuing review of the Basic Document of the Faculty Senate of Iowa State University, the Faculty Senate Rules and Bylaws, and the Faculty Senate Council and Committee system.

Faculty Senate Committee on Committees

Conducts elections of faculty to the Faculty Senate and any university committee requiring an

elected faculty membership. Recommends individual faculty members for appointment to Faculty Senate and university committees requiring faculty membership. Conducts interest surveys regarding faculty members' committee interests.

Faculty Senate Committee on Governance Structure and Documents

Undertakes continuing review of the Basic Document of the Faculty Senate of Iowa State University, Faculty Senate Rules and Bylaws, and the Faculty Senate organizational structure. Responsible for working with provost regarding revisions to the Faculty Handbook and orientation of new faculty senators.

Faculty Senate Council on Judiciary and Appeals

Maintains a system for faculty grievance, monitors the effectiveness of the faculty grievance process; recommends legislation to the Faculty Senate pertaining to the faculty grievance policy and procedures, faculty dismissal policy and procedures, and faculty misconduct policy and procedures; and work with the Provost in defining the procedural and policy interface between the faculty grievance process and the administration's jurisdiction.

Faculty Senate Committee on Appeals

Hears and works to resolve grievances from faculty who believe they have been treated unfairly with respect to salary, promotion, tenure, academic concerns, reduction in force or other matters relating to employment; makes recommendations for grievance resolution to the Provost; makes recommendations for changes in procedures as appropriate.