

# Faculty Handbook - Table of Contents

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## Faculty Handbook - 1. The Faculty Handbook

Revisions approved by Faculty Senate on 1/20/2009 and by president and provost on 1/27/2009.

The *Faculty Handbook* is the official statement of Iowa State University policy governing the rights, responsibilities, and performance of faculty. This handbook contains information on state and federal policies, Board of Regent's policies, administrative policies, and policies approved by the Faculty Senate on behalf of the faculty. This handbook is updated at least annually and more frequently as needed to record policy changes. The Provost's staff and the Faculty Senate Handbook Committee share responsibility for revisions to this document, and they should be contacted for information about recent changes that are not yet included.

The *Faculty Handbook* also contains information about procedures that are not readily available elsewhere and links or references to other sources for further information. The Faculty Senate is not responsible for the contents or policies contained in linked websites that are not controlled by the Faculty Senate.

Maintenance of the *Faculty Handbook* is the responsibility of both the Office of the Provost and the Faculty Senate Governance Council. Each year the *Handbook* is updated for changes and additions in policies, procedures, and descriptive information. During the academic year, Faculty Handbook Committee does the following:

- monitors Faculty Senate actions that affect material described in the *Handbook* and transcribes those actions for inclusion in the *Handbook*
- keeps accurate records to contribute to the revision process
- works with the Office of the Provost to update the *Handbook*

- reviews changes and additions to the *Handbook*
- monitors other changes, such as legislative actions and Board of Regents decisions that affect faculty

All revisions to the *Handbook* will be submitted to the Governance Council which will seek authorization of the changes by the Senate as may be appropriate.

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## 2.1 Introduction

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 does not discriminate on the basis of race, ethnicity, sex, pregnancy, color, religion, national origin, physical or mental disability, age (40 and over), marital status, sexual orientation, gender identity, status as a U.S. Veteran (disabled, Vietnam, or other), or other protected class. Any person who has inquiries concerning this may contact the Director of the Office of Equal Opportunity and Diversity.

Approved by the Faculty Senate on October 9, 2007, and by the president and provost on October 26, 2007.

## 2.2 History

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

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

## 2.3 Administrative Structure

Iowa State University of Science and Technology is one of five institutions governed by the Board of Regents, State of Iowa, <http://www2.state.ia.us/regents/index.html>. The other institutions are the University of Iowa, the University of Northern Iowa, the Iowa School for the Deaf, and the Iowa Braille and Sight Saving School. The Board of Regents consists of nine members appointed by the Governor with the approval of the Senate. The term of office is six years, with the terms of three members expiring on May 1 of each odd-numbered year. The Board of Regents Office is located in Urbandale, Iowa.

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

The president is the principal administrative officer of the university and is directly responsible to the Board of Regents for the operation of the university. The president is responsible for the administration of university affairs. The president issues diplomas conferring degrees upon the recommendation of the Faculty Senate acting on behalf 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 is the chief academic officer. The provost coordinates and administers the academic, outreach, and research programs and the personnel policies of the university.

The vice president for business and finance manages the fiscal operation of the university. 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.

## **2.4 The Faculty**

### **2.4.1 The General Faculty**

The General Faculty is the legislative body of the university. It consists of all tenured and tenure-eligible and non-tenure-eligible faculty members as well as all major administrative officers of the university who carry faculty appointments. The General Faculty is responsible for educational policies and procedures of the university, including the following:

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

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

The General Faculty is responsible to, and is chaired by, the university president. 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. 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, <http://www.lib.iastate.edu/spcl/arch/index.html>.

## 2.4.2 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 Constitution of the Iowa State University Faculty Senate, as approved by the Board of Regents, and the *Bylaws* of the Faculty Senate are maintained on the Faculty Senate web site. Also listed are the Faculty Senate Councils and Committees and their current membership, <http://www.facsen.iastate.edu/>. In addition, the official documents of the Faculty Senate, including minutes of its meetings, agendas, calendars, agenda documents, etc., and all corresponding documents of Faculty Senate councils and committees are on file in the Faculty Senate Office.

## 2.4.3 The Graduate College

The Graduate College oversees all the programs of post-baccalaureate study offered by the university. Most of the graduate programs are research oriented and lead to a masters degree (with thesis) and to the doctor of philosophy degree. In certain fields that involve advanced study directed more specifically to vocational or professional objectives, a professional masters degree or a masters degree without thesis is available, <http://www.grad-college.iastate.edu/>.

## 2.4.4 The Graduate Faculty

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

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

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

The *Graduate College Handbook* <http://www.grad-college.iastate.edu/degree/graduatecollegehandbook.html> is a resource for further information.

### 2.4.4.1 Directors of Graduate Education (DOGE)

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

## **2.5 The Department**

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

## **2.6 Governance Documents**

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

### **2.6.1 Constitution of the Faculty Senate**

The *Constitution of the Iowa State University Faculty Senate* <http://www.facsen.iastate.edu/documents/constitution/> describes the purpose, functions, organization, membership, and other elements of this representative body of the General Faculty. Changes to the constitution must be approved by the General Faculty. The operation of the Faculty Senate is prescribed in the *Bylaws of the Iowa State University Faculty Senate*, <http://www.facsen.iastate.edu/documents/bylaws>.

### **2.6.2 College Governance Documents**

The governance document of each college describes its mission, governance domains, governance structure, and other policies and procedures. This up-to-date document shall be publically available through a link to a document web site provided to the Office of the Provost and the Faculty Senate. College governance documents are reviewed by the Faculty Senate Committee on Governance Structure and Documents.

Approved by Faculty Senate 1/20/2009; approved by president and provost 1/27/2009

### **2.6.3 Department Governance Documents**

The governance document of each department includes information specific to the department that parallels the type of information in the college document. This up-to-date document shall be publically available through a link to a document web site provided to the Office of the Provost and the Faculty Senate.

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

Approved by Faculty Senate 2/10/1998

Approved by Faculty Senate 1/20/2009; approved by president and provost 1/27/2009

## **2.7 Policy for Academic Reorganizations**

Faculty Senate approved this policy on January 13, 2004, and university administration approved this policy on January 23, 2004.

### **2.7.1 Policy for Reorganization of Academic Units**

The reorganization of academic units (departments or colleges) is an academic activity that is part of university governance shared by faculty and administration. Reorganizations are carried out via a three-step process involving discussion, planning, and review.

#### **2.7.2 Discussion**

Reorganization begins with discussion of a problem or opportunity whose solution may include restructuring one or more units of the University. This discussion leads to a decision to formally explore the possibility of reorganization by developing a reorganization plan.

##### **2.7.2.1 Decision to Begin Planning**

The decision to begin planning is made with no prior assumption that reorganization will be the inevitable outcome. The decision to begin planning is made by the administrator (Dean, Provost, or President) of the unit involved in response to what he or she feels are compelling reasons. This decision is not to be made lightly, as planning requires time, effort, and resources.

##### **2.7.2.2 Formalizing the Decision to Begin Planning**

The decision to begin planning will include a determination of which units are involved, what is the opportunity/ problem that is to be dealt with, and an estimation of the time frame for decision-making. It may or may not include a previously developed proposal for reorganization.

When the decision is made to begin planning, faculty in all involved units and the Faculty Senate are to be notified.

### **2.7.2.3 Faculty Senate Role**

The faculty and/or administrators involved may seek input from the Faculty Senate in structuring the process to be followed. The Faculty Senate will monitor the planning process.

## **2.7.3 Planning**

The goal of planning is the generation of a reorganization plan to resolve a problem or develop an opportunity. This proposed reorganization plan will include a recommendation about whether or not to reorganize. In the spirit of shared governance, substantial effort shall be made to include members of all affected units in the planning process.

### **2.7.3.1 Content of the Plan**

The plan will contain an academic plan that describes both the reorganization being proposed and an implementation plan that explains how the proposed reorganization will be implemented and what resources will be needed.

### **2.7.3.2 Time Frame for Implementation of the Plan**

The reorganization plan will also include a description of the time frame for implementing the reorganization.

## **2.7.4 Review**

Reorganization plans must be reviewed and approved before being put into action.

### **2.7.4.1 Review by Faculty**

The proposed reorganization plan will be reviewed by the faculty in the affected units and by the department chairs and/or deans of these units. The faculty review of the plan will conclude with a vote on whether to recommend that the plan be adopted.

### **2.7.4.2 Review by Provost**

After the vote by the involved faculty and the review by the administrators, the plan will be reviewed by the Provost, whether the faculty vote is favorable or not. The Provost will take one of three actions.



- **Return Plan to Units**  
The Provost may send the plan back to the affected units for further review and/or revision.
- **Reject Plan**  
The Provost may reject the plan and terminate the process, leaving the existing unit(s) in place.
- **Submit Plan to Faculty Senate**  
The Provost may submit the plan to the Faculty Senate for a review with a recommendation that it be approved.

### **2.7.4.3 Review by Faculty Senate**

The Faculty Senate will review the plan as submitted by the Provost. The Senate's review may include discussions with the faculty and/or administrators in the unit(s) and/or with the Provost. The Senate may request further information and/or clarification from the Provost about the plan and about his or her recommendation. After completing its review, the Senate will take one of two actions.

- **Return to Provost**  
It may return the proposal to the Provost with a recommendation that he/she consider revisions or reconsider rejecting the proposal.
- **Submit to President**  
The Senate may submit the plan to the President with a recommendation that it be approved.

The Senate will complete its review and take action following the normal Senate time frame of two meetings after receiving the plan.

### **2.7.4.4 Review by President**

After reviewing the recommendations of the Provost and the Faculty Senate, the President will take one of three actions.

- **Return Plan for Further Discussion**  
The President may return the plan for further discussion or revision.
- **Dismiss the Plan**  
The President may dismiss the plan and terminate the process. This will leave the existing unit(s) in place.
- **Submit Plan to Board of Regents**  
The President may submit the plan to the Board of Regents with a recommendation that it be approved. Final approval of the proposed reorganization rests with the Board of Regents.

### **2.7.5 Implementation and Follow-up Review**

After receiving Regents approval, the plan will be implemented in a timely manner. The Provost and/or appropriate dean(s) will conduct follow-up reviews of units that have undergone reorganization.

## **Faculty Handbook - 3. Appointment Policies and Procedures**

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## **3.1 Appointment Policies**

Appointments to the faculty are ordinarily made for the nine-month academic year (B-base). Twelve-month A-base appointments are reserved for administrative positions and for persons whose responsibilities require year-round service. 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 ([4.5.1 Vacations and Holidays](#)). Persons on A-base part-time appointments are expected to maintain their responsibilities to the department, college, and university throughout the entire fiscal year. Persons on B-base part-time appointments are expected to maintain their responsibilities to the department, college, and university throughout the entire academic year.

B-base faculty members may be appointed for specific assignments in the summer, if warranted by the needs of the department. A B-base faculty member may ordinarily be employed by the university for no more than two months during the summer in addition to the academic year appointment. Exceptions may be made when necessary to carry out the provisions of a grant or contract, provided that the faculty member's support for that period is entirely from nonappropriated funds and the request for an exception is endorsed by the dean and approved by the provost. Summer salary, when paid from state appropriated funds, is based on the individual's B-base salary during the preceding academic year, prorated according to the length of the summer appointment. Summer appointments are ordinarily made on a year-by-year basis. Any commitments for summer 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 - assistant professor, associate professor, or professor. Appointment to the rank of assistant professor may be for a period of four years or less, with option of renewal for a period up to three years. Initial appointment to the rank of associate professor and professor may be made either for a specified term or it 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. The provost must have an opportunity to meet candidates for a tenured position before approval is requested.

Departments will advertise for full-time tenure-eligible or tenured positions and must have funding for a full-time hire. Advertisements will include information about university policies for flexible and part-time appointments. At the request of the faculty member, the department chair may appoint the new faculty member on a term or permanent part-time tenure-eligible or tenured basis. After an initial permanent part-time appointment, increases in the appointment are not guaranteed; however, they may be negotiated via request by the faculty and approval by the department chair. (See section 3.3.1.1)

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

## **3.2 Appointment Procedures**

The chair initiates a proposal for a new appointment after consultation with the members of the department. Upon receipt of approval from the dean(s) and provost, the department follows university search procedures <http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap4.htm#4.1.1>

When a candidate has been identified for the appointment, the chair specifies the conditions of appointment on a form called the Letter of Intent and in a letter making the offer of appointment including the position responsibility statement.

The Letter of Intent form and the letter must be approved by the dean and, in the case of a tenured or tenure eligible appointment, by the provost. Approval must also be obtained from the Office of Equal Opportunity and Diversity confirming that the required search procedures have been followed in filling the position. The stipulated conditions include the academic rank, salary for the first year (in the case of new appointment), 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 factors that apply to the appointment.

Subsequently, the person to whom the appointment is offered signs the form, indicating acceptance of the appointment and the specified conditions.

## **3.3 Types of Appointments**

Faculty Appointments are made as tenured/tenure-eligible (with rank of assistant professor, associate professor, or professor) or as non-tenure-eligible (e.g. lecturer, clinician, senior lecturer, senior clinician, instructor, adjunct, affiliate, collaborator or visiting faculty). The type of appointment influences such considerations as fringe benefits, tenure status, and renewal procedures.

### **3.3.1 Tenured and Tenure-Eligible Appointments**

Tenured and tenure-eligible appointments are regularly budgeted positions at any rank and account for most faculty appointments. Tenure-eligible faculty are appointed for a specified period of time (term appointment), and notice of intent not to renew shall be given according to the deadlines specified in the section 3.4 Nonrenewal or Termination of Appointment. A person on a tenure-eligible 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, except in cases of part-time tenure-eligible appointments and in cases of the approved extension of the tenure-clock. Recruitment for tenured and tenure-eligible faculty must follow university procedures.

#### **3.3.1.1 Requests for Conversion to Part-time Appointment**

Requests for conversion from full-time to part-time appointments may only be initiated by tenured or tenure-eligible faculty with either A-base or B-base full-time appointments.

Tenured faculty may make such a request for personal or professional issues, including work/life balance. Tenure-eligible faculty may make such a request only for reasons of balancing work and family for the arrival of a child, the care of a child with special needs, elder care, the care of a partner, or for personal circumstances related to the health of the faculty member.

A new Position Responsibility Statement (PRS) will be negotiated by the faculty member and department chair. (See 5.1.1.5) Part-time appointments can be made for any percentage from fifty percent or greater of a full appointment. Only in unusual circumstances and only for tenured faculty will appointments less than fifty percent FTE be considered. The length of non-permanent part-time appointments may be made in one-half year segments that may either be consecutive or non-consecutive for no more than two calendar years. During the duration of a part-time non-permanent appointment, terms of the appointment will only be changed via the agreement of the faculty member, the department chair and Dean. At the end of any term, the part-time appointment may be continued by agreement of the faculty member, the department chair and Dean. Faculty may request permanent conversion to a part-time appointment, subject to approval by the department chair and Dean.

The reasons for the request for a change in the percentage of appointment should be clearly stated and may include personal or professional issues, including work/life balance. The department chair should make a careful assessment of the needs of the department and work with the faculty member requesting the part-time appointment to facilitate this whenever possible. The period for which this part-time appointment is granted shall be clearly stated. For non-permanent appointments, each agreement will specify the date on which the faculty member returns to full-time.

If the faculty member and the department chair do not reach agreement on a change in appointment, the faculty member may request assistance from the chair of the Faculty Senate Appeals Committee, the Ombuds Office, the dean, or the provost. Disagreements about changes in the PRS should be handled according to Section 5.1.1.5.

Service responsibilities for faculty on part-time appointments are generally seen as proportional to their appointments. Faculty on such appointments are not excused from regular institutional service and university commitments because of the part-time appointments.

Faculty on part-time tenure-eligible or tenured appointments remain eligible for benefits, including retirements and medical and dental benefits as provided by university benefit plans. Office and laboratory space may be adjusted with part-time appointments.

A faculty member's tenure is assumed to be full-time as long as the part-time appointment has a stated term. When a permanent conversion to part-time appointment takes place, the tenure is for a partial appointment.

Approved by the Faculty Senate Executive Board (November 1, 2005)

Approved by the Faculty Senate (December 6, 2005)

Faculty Senate Executive Board (April 18, 2006)

Faculty Senate (April 25, 2006)

University Administration Provost and President July 11, 2006

Incorporating Editing and Revision as Approved by

Faculty Senate Executive Board, December 5, 2006: Faculty Senate December 12, 2006

### **3.3.1.2 Review of Policy for Part-time Appointments for Tenure-eligible and Tenured Faculty**

The policy on part-time appointments for tenure-eligible and tenured faculty shall be reviewed six years after it is adopted. It will remain in effect unless explicitly amended by the Faculty Senate and university administration.

Approved by the Faculty Senate December 12, 2006

### **3.3.2 Non-Tenure-Eligible Appointments**

(For evaluation, renewal, and advancement policies of non-tenure-eligible appointments, see section 5.5.1)

Faculty Senate approved this policy on December 11, 2001 and the university Administration approved this policy in April of 2002. Revisions were approved by the Faculty Senate and the Administration in 2003. Further revisions approved by the Faculty Senate on January 20, 2009, and by the provost and president January 27, 2009.

#### **3.3.2.1 Appointment Policies for Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments**

Non-tenure-eligible faculty positions are term appointments eligible for renewal based upon the quality of performance and the continuing need of the unit. They are subject to approval by the Dean and Provost. Individuals appointed to these positions will be evaluated for compensation and advancement using established criteria appropriate to their positions. Evaluations for renewal of appointment will be conducted by an appropriate faculty committee and recommended by the department chair.

The types of non-tenure-eligible appointments include the following:

- Lecturer and Clinician<sup>1</sup>: a limited term, full- or part-time renewable appointment of from one semester to three years.

- Senior Lecturer and Senior Clinician<sup>1</sup>: a limited term, full- or part-time renewable appointment not to exceed five years, requiring a notice of one year of intent not to renew. To be eligible for appointment as Senior Lecturer or Senior Clinician, the individual shall have served as a Lecturer or Clinician or its equivalent for a minimum of six years or completed 12 semester FTEs of employment.
- Adjunct appointment: a limited-term, full- or part-time renewable appointment with possible titles as adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor<sup>2</sup>. The Adjunct title signifies that the person, because of special personal or departmental circumstances of a clearly unusual nature or character, is neither tenured nor tenure-eligible. Adjunct appointments are not to exceed five years for each appointment, requiring a notice of one year of intent not to renew except when the appointment is for a year or less.
- Professional and Scientific (P&S) non-tenure-eligible appointment: employees on P&S status may be appointed to limited-term, renewable appointments, of from one to five years, to carry out faculty duties as specified in 3.3.2.5

<sup>1</sup> Colleges and other administrative units may substitute other descriptors in place of Clinician or Senior Clinician to reflect the usages and norms of their disciplines with approval of the Faculty Senate and the Provost.

<sup>2</sup>As specified in 3.3.2.4, the title of "adjunct instructor" is reserved for persons "with DVMs or equivalent degrees," persons in "the Construction Engineering Program of the CCEE Department with a Master's Degree and at least five years of industrial experience," and persons "in the Department of Animal Science with a Master's Degree and at least three years of relevant experience in the animal production or meat processing industry."

Short-term non-tenure-eligible teaching shall be limited to opportunities for utilizing outstanding master scholars and practitioners or to unanticipated pressures like funding shortages or unforeseen enrollment increases. Positions shall not be considered temporary when they are filled from year to year.

ISU subscribes to AAUP guidelines and standards for part-time and non-tenure-eligible faculty, in effect as of 10/09/01, including the AAUP recommendation that part-time and non-tenure-eligible faculty appointments be limited to no more than 15 percent of the total instruction within the university, and no more than 25 percent of the total instruction within any given department.

Non-tenure-eligible faculty appointments should have equitable compensation and access to professional development opportunities.

Non-tenure-eligible faculty will be included in the departmental and institutional structures of faculty governance. In addition, non-tenure-eligible faculty can also serve in the Faculty Senate, with the exception of persons employed in a P&S position, their institutional representation being the P&S Council. Individuals who are degree candidates from ISU and teach as a part of their educational experience will not be given faculty rank nor counted as non-tenure-eligible faculty.

No changes to the status, title, and privileges of persons already holding continuous adjunct non-tenure-eligible faculty positions shall be made unless requested by such a person. See section 3.3.3 on continuous adjunct appointments for a definition of a continuous adjunct.

The Faculty Senate shall exercise oversight of compliance with these recommendations and will accept and review applications for exceptions to departmental appointment limitations described above from the Provost. Other related policy issues will be addressed by the FDAR Council with the Provost in attendance.

Amended and approved by the Faculty Senate April 10, 2007

Approved as revised by the Faculty Senate on January 15, 2008, and by the President and Provost on January 23, 2008

### **3.3.2.2 Appointment Procedures for Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments**

In addition to the above principles established in conjunction with the Faculty Senate, the following practices and procedures shall apply:<sup>3</sup>

- Appointments as non-tenure eligible faculty are made using established university search processes.
- Appointment of Senior Lecturers and Senior Clinicians or adjunct appointments must be approved by the dean and the provost. Request for approval should include a summary of the review results and a statement regarding the continuing need of the unit.
- Appointments may be advertised and filled as either full- or part-time.
- Standard appointment is for nine months (B-base).
- Ordinarily a graduate or professional degree is required for appointment.
- Appointment to the Graduate Faculty for non-tenure eligible individuals is governed by Graduate College policy.
- Faculty members who have been denied tenure in a mandatory year review at Iowa State University are not eligible for appointment as non-tenure-eligible faculty.

<sup>3</sup> For P&S employees, notice of intent not to renew is governed by the P&S appointment. Termination of the P&S appointment will also mean termination of the non-tenure-eligible appointment.

### **3.3.2.3 Adjunct Faculty Employed Elsewhere**

Adjunct titles may be used for persons who are employed elsewhere but have special or unique expertise to take on faculty responsibility at Iowa State. This would include persons currently funded or employed in businesses, government, and other organizations without direct connection to ISU. These appointments are normally part time, made to recognize the



appropriate teaching, extension/professional practice, and/or research responsibilities of these individuals. Any temporary full-time appointments of these individuals would be for a special need and usually last no longer than one-year. Adjunct faculty should be individuals holding a terminal degree in an appropriate field. Under extraordinary circumstances, individuals without the terminal degree but with national or international reputations in their field might be considered for appointment in an adjunct position.

Individuals who are faculty members at another institution should be appointed as Visiting Professors (see Section 3.3.4).

### **3.3.2.4 Adjunct Faculty Employed by the University**

In the University's quest to hire and retain excellent faculty, including dual-career couples, as well as to carve out new areas of academic expertise, and attract experts on extra mural grants and contracts, certain individuals may be hired in full time positions as adjunct faculty. These should be persons with a terminal degree in their field. They will likely function as faculty with significant research or extension/professional practice responsibilities, usually funded by external grants and contracts. Whenever possible, these individuals when employed by the department should be considered for tenure-eligible positions. Adjunct faculty are not tenure-eligible faculty and have term appointments as specified in Section 3.3.2.1.

The title of Adjunct Instructor is reserved for persons with appropriate masters degrees in departments/programs where a limited number of PhD students in good standing come with previous relevant special experience (with the relevancy and uniqueness to be articulated and defended by the academic department/program). Before using the title, each department/program proposing such use of Adjunct Instructor must receive approval by the Provost and Faculty Senate. Special approval by the Provost and the Faculty Senate has been given in these areas: a) faculty with DVMs or equivalent degrees, who perform faculty work as part of a PhD or specialty training program; b) Adjunct Instructors in the Construction Engineering Program of the CCEE Department with a Master's Degree and at least five years of industrial experience; and c) Adjunct Instructors in the Department of Animal Science with a Master's Degree and at least three years of relevant experience in the animal production or meat processing industry.

### **3.3.2.5 Professional and Scientific (P&S) Non-Tenure-Eligible Appointments**

A person employed in a Professional & Scientific (P&S) position may also be appointed to non-tenure-eligible positions by an academic department to carry out faculty responsibilities for that department. Individuals holding a full or part-time P&S position may have no more than 30% of their total work responsibilities in teaching.

A broad range of P&S employees are granted faculty rank so that they can conduct faculty duties, most often teaching. Previously these individuals were appointed as Adjunct Instructors, Adjunct Assistant Professors, Adjunct Associate Professors, and Adjunct Professors. The

specific title reflected the employee's academic credentials and the title was usually for a term appointment.

The following system is now employed for P&S employees assuming faculty responsibility.

When the faculty work undertaken is similar to that of a department's Lecturers and Clinicians, the title of Lecturer and Clinician (or Senior Lecturer and Senior Clinician) is appropriate. These titles should only be given to employees with an advanced degree in an appropriate field. These titles can be given for terms not to exceed five years, when a department foresees a continuing need for the P&S employee's service in faculty roles.

When the faculty work undertaken is substantially different from the work of department Clinicians and Lecturers, which often occurs when the work is focused on research or extension/professional practice, the P&S employee may be given the title of Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor. The qualifications for these titles should be similar to those required to hire at the Assistant, Associate or Full Professorial ranks under the tenure-eligible system. These titles should only be given to employees with the terminal degree in the field. The awarding of these titles must be approved by the department, the college, and the provost.

P&S employees who held adjunct rank at the Assistant, Associate or Full Professorial levels at the time of adoption of this policy (2/11/03) will retain these titles, with appropriate review and approval by the departments in which the title is held. The term of these appointments shall be as previously specified or for a renewable term not to exceed five years. Departments will need to review employees who held Adjunct Instructor rank at the time of adoption of this policy (2/11/03), and will need to recommend to the college and provost future classification for these individuals.

### **3.3.3 Non-Tenure-Eligible Research (NTER) Appointments**

Funding for these positions shall be external to the university and are not a part of the university base budget. (See Section 4.1.3)

Approved by the Faculty Senate on February 12, 2008, by the president and provost on February 15, 2008 and by the Board of Regents on May 1, 2008.

#### **3.3.3.1 Appointment Policies for Non-Tenure-Eligible Research Appointments**

Research professors are persons holding the rank of research assistant professor, research associate professor, and research professor. Research professors are employees of the university. They are subject to appointment, renewal, advancement, termination, and conduct consistent with university policies and procedures, and the special conditions outlined herein. All positions shall be non-tenure-eligible renewable term appointments not to exceed five years in any one contract period. These appointments shall be approved at the department, collegiate and provost

levels. Qualifications, standards and procedures for ranks shall be the same as for tenured and tenure-eligible faculty with commensurate titles. Each department and college hiring NTER faculty shall include provisions defining NTER positions, search and appointment processes, and review, renewal and advancement procedures in its governance documents. Persons holding this title are not members of the General Faculty, may not hold senate positions, nor represent the faculty on collegiate or university committees. Departments will decide departmental rights and responsibilities.

### **3.3.3.2 Appointment Procedures for Non-Tenure-Eligible Research Appointments**

Departments intending to retain NTER faculty shall develop procedures for hiring research professors. Tenured and/or tenure-eligible faculty shall be involved in the search process, review of applications and credentials, final recommendations for hiring, and determination of rank consistent with that department's processes for hiring tenure-eligible faculty. Similar tenured and tenure-eligible faculty involvement needs to be followed for candidates holding other types of appointments at ISU seeking to convert to a research professor position.

1. Research professors shall have a departmental home and a PRS. In the case of joint appointments, at least 51 percent of the appointment shall be in the home department.
2. Persons holding NTER positions shall have a PRS stipulating not less than 90 percent time commitment of the appointment to research. Up to a maximum of 10 percent time commitment may be assigned for serving on graduate committees and/or leading research related seminars. As these are research (not teaching) appointments, funding for the incidental teaching time-share shall be from external funds.
3. The total number of persons holding NTER faculty appointments, whether full- or part-time, shall not be more than a 20 percent ratio of the total FTE tenured and tenure-eligible faculty in a department, nor more than 10 percent of a similar share for the university as a whole.
4. Persons may not hold simultaneous appointments as P&S and NTER faculty except that persons holding P&S positions at level P-17 and higher may do so, provided they meet the conditions of both appointments, and only when governmental stipulations require an appointment as a P&S staff member. Exceptions to the simultaneous appointments must be reviewed and approved by the provost and the Faculty Senate president and must be reported annually to the Faculty Senate.

5. All appointments are non-tenure-eligible.
6. Persons denied tenure at ISU is eligible to apply for these positions after three years have elapsed from the date of tenure denial.
7. Persons holding NTER positions are eligible to be named to the Graduate Faculty in accordance with Graduate College procedures.
8. Persons holding NTER positions shall not convert to tenure-eligible or tenured positions. They may apply for an advertised tenure-eligible position provided the search and appointment processes conform to those for tenure-eligible faculty.
9. Persons holding P&S positions, post-doctoral positions, and tenured and tenure-eligible positions shall be eligible for appointment to a research professor position provided that their credentials are commensurate for the potential rank. Tenured and tenure-eligible faculty shall be involved in the appointment process as outlined above.

The Faculty Senate shall exercise oversight of compliance with these recommendations and will accept and review applications from the provost for exceptions to appointment limitations consistent with shared governance. The provost shall provide an annual report regarding the number of appointments and ratios to the Faculty Senate.

### **3.3.4 Continuous Adjunct Appointments**

The title continuous adjunct was employed in the past to extend certain adjunct appointments beyond seven years and 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. No new appointments may be made using this title.

Salaries for continuous adjunct faculty should reflect equity with other faculty making similarly valuable contributions. (Faculty Senate Resolution 96-12, March, 1997)

### **3.3.5 Visiting Appointments**

Visiting Appointments are ordinarily intended to provide special input into the teaching or research program of the department. A visitor is usually a member of the faculty of another institution and is appointed at the rank held at that institution. A visitor may, however, also come from business, industry, or government, in which case the appointment is at a rank consistent with the individual's professional experience. A visiting appointment is usually for one academic year, but may be for a shorter period of time. It is not subject to renewal, so no special notification of intent not to renew is necessary. The person is not considered to be tenured at Iowa State, nor is the visiting appointment considered to be service in a probationary period leading to tenure since renewal is not contemplated. If, however, the individual is subsequently given a regular appointment following an open recruitment process, 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.

### **3.3.6 Collaborators**

Collaborators are persons not employed by the university who are appointed to the faculty with the understanding that they will receive no remuneration for services rendered to the university. Typically they are persons whose special expertise is deemed useful to the university in connection with a particular teaching or research program. A collaborator appointment may be made at any academic rank and remains in effect as long as it is mutually agreeable to both the department and the individual. A collaborator is not tenured, does not serve a probationary period leading toward tenure, and does not participate in the university's benefits program.

### **3.3.7 Affiliates**

Affiliates are persons appointed to the faculty, without financial obligation on the part of the university, to carry out scholarly activities from which the individual as well as the department and the university will benefit. Faculty rank will reflect scholarly qualifications equivalent to those of similar rank in the department. Unlike collaborators, affiliates are not employed on a regular basis outside the university. Since affiliates are not recruited following university affirmative action procedures, they 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.

Appointments may be made for one to three years and 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.

### **3.3.8 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 a Letter of Intent signed by the chairs of both departments and the dean or deans of the college(s) involved and the provost. 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 evaluation, review and 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. The Position Responsibility Statement should clarify the expectations in each department.

### **3.4 Nonrenewal or Termination of Appointment<sup>4</sup>**

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

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

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

A tenure-eligible faculty member being considered for reappointment 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 tenure-eligible faculty member who is not recommended for reappointment shall be given an explanation of the action in an informal conference with the department 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 Senate 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.

<sup>4</sup> Appointments of Lecturers and Clinicians is sometimes done on a year-to-year basis and do not require notice of intent not to renew.

## **Faculty Handbook - 4. Salaries and Benefits**

### 4.1 Salary Policies and Procedures

#### 4.1.1 Merit Increase

#### 4.1.2 Promotion Increase

#### 4.1.3 Funding for Non-Tenure-Eligible Research (NTER) Appointments

### 4.2 Benefits

### 4.3 Retirement Program

#### 4.3.1 Phased Retirement Program

#### 4.3.2 Early Retirement Incentive Program

#### 4.3.3 Rehiring Retired Faculty

### 4.4 Resignation

### 4.5 Leave Policies

#### 4.5.1 Vacations and Holidays

#### 4.5.2 Sick Leave

#### 4.5.3 Leave of Absence

#### 4.5.4 Maternity Leave

#### 4.5.5 Adoption Leave

#### 4.5.6 Family and Medical Leave

#### 4.5.7 Military Leave

## **4.1 Salary Policies and Procedures**

Section 4.1 was approved by the Faculty Senate on 3/07/00.

Faculty salaries are determined annually on a merit basis and reflect the annual review of faculty performance based on position responsibilities, market factors, and equity considerations. 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 chair of a department or with persons in-charge of the individual's work. In some departments, committees assist in the evaluation. The department's salary recommendations are then reviewed by the college Dean, the Provost, and the President before being submitted to the Board of Regents for final approval. After the Regents' approval, but not before, the department chair shall inform each faculty member in writing of his or her salary increase and the reasons for it.

Faculty members shall be reviewed annually for performance and development on the basis of their position responsibility statement. The evaluation will be based on scholarship and contributions in: (1) teaching, (2) research/creative activities, (3) extension/professional practice, and (4) institutional service.

### **4.1.1 Merit Increase**

For the purposes of merit increases:

- Each faculty member's overall performance shall be evaluated as either satisfactory, or not satisfactory.
- Anyone receiving a rating of satisfactory shall receive a salary increment equal to at least one-third of the percentage of the general salary increase.
- Departments may further subdivide those rated as satisfactory into ranked categories (e.g., good, superior, excellent) for purposes of further differentiation in terms of merit increase.
- Those rated as not satisfactory shall receive an increase between zero and one-third of the budgeted general salary increase.
- The President in consultation with the Faculty Senate may adjust the minimum percentage increase for satisfactory performance.

Additional performance, market, and equity increases may be given to individuals rated satisfactory.

### **4.1.2 Promotion Increase**

Promotion to a higher academic rank is accompanied by a salary increase of a fixed amount. The amount of the promotional increase is determined annually by the administration, in consultation with the Faculty Senate. This increase is separate from, and in addition to, the merit increase.



## **4.1.3 Funding for Non-Tenure-Eligible Research (NTER) Appointments**

Funding for these positions shall be external to the university and are not a part of the university base budget. Funding including direct salary and benefits, and "start-up" packages must be from sources other than tuition and state appropriations, including state appropriations for the Agriculture & Home Economics Experiment Station and the Cooperative Extension Service. Exceptions will be allowed when short term funding, up to a maximum of three years, is provided for salary and benefits only for a partner accommodation from centrally managed resources. Any other resources needed for "start-up" must come from external funds. (See Section 3.3.3)

1. Positions may be funded from grants, contracts or other sponsored sources, special project-specific appropriations from the federal, state, or local government, the Ames Laboratory, and indirect cost revenues distributed to departments or research centers/institutes.
2. Indirect costs captured from funded research shall accrue to the research professor's home unit(s) in accordance with university policy. Reimbursable travel, conferences and professional development expenses shall be covered by grant funding. A share of generated indirect cost revenues may be used to defray such expenses consistent with unit procedures and criteria.

Approved by the Faculty Senate on February 12, 2008, by the president and provost on February 15, 2008 and by the Board of Regents on May 1, 2008.

## **4.2 Benefits**

The Office of Human Resource Services, <http://www.hrs.iastate.edu/main/homepage.shtml>, administers most of the benefits available to faculty. The benefits list includes Medical, Dental, Life and Long-Term Disability and Retirement plans. New employees must register with HRS as payroll procedures are administered there. Child Care, Employee Assistance and Training and Development programs are also described on their web pages.

These programs and others such as Workmen's Compensation are also described in the *Office Procedure Guide*, <http://www.adp.iastate.edu/vpbf/prod/docs/opg/opg.htm>.

## **4.3 Retirement Programs**

### **4.3.1 Phased Retirement Program**

Faculty members who have attained age 57 and have at least 15 years of service at Regent institutions are eligible to negotiate with their departments a schedule of phasing into retirement.

During the phasing period, the employee holds at least 50% but not more than 65% appointment on a schedule that is mutually agreed upon between the department and the employee. Complete details of the provisions and benefits of phased retirement can be obtained from the *Office Procedure Guide*, <http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap3.htm#3.3.10>, or from the Benefits Section of the Office of Human Resource Services, <http://www.hrs.iastate.edu/benefits/homepage.shtml>.

### **4.3.2 Early Retirement Incentive Program**

The early retirement incentive program available to faculty is being changed during the 2001/2002 years. Specific eligibility requirements have been set for the program that ends June 30, 2002. The Office of Human Resource Services provides the latest information on eligibility.

### **4.3.3 Rehiring Retired Faculty**

Faculty members who have retired, including those who have elected the Early Retirement Incentive Program, may be rehired by the university to fulfill defined responsibilities such as offering instruction or participating in specific research projects. An individual may be appointed for one year or less with renewal contingent upon institutional need and quality of performance. Applicable policies and procedures are maintained by the provost, <http://www.provost.iastate.edu/>.

## **4.4 Resignation**

A faculty member who wishes to resign from an appointment or does not plan to accept a renewal of a current appointment should notify his/her department chair in writing at the earliest opportunity to allow time for a suitable replacement to be found, generally not later than April 15. A resignation requires that the department chair submit an Electronic Personnel Action form.

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.

## **4.5 Leave Policies**

Faculty Professional Development Assignments (formerly Faculty Improvement Leaves) and other faculty development programs that may involve absence from campus for a period of time are considered faculty development opportunities, <http://www.provost.iastate.edu/faculty/advancement/development/>.

Other leave programs are listed here for completeness with sources of further information

## **4.5.1 Vacations and Holidays**

Section 4.5.1 was approved by the Faculty Senate Executive Board on 2/08/91.

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 chair.

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.)

## **4.5.2 Sick Leave**

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

## **4.5.3 Leave of Absence**

Leave of absence without pay may be granted for research or similar professional activity or for compelling personal reasons. A request for a leave is initiated by the faculty member and requires the approval of the Chair, Dean, Provost, President and the Board of Regents.

The letter of request should include the reasons for the leave and, in the case of leave for professional reasons, should describe the benefit to the university upon the individual's return.

Approval of leave for professional activity is contingent on the professional benefits to the individual and the university, and the availability of qualified replacements.

Leave may be granted for one year or less. Requests for extension of a leave beyond one year are considered to be exceptional. They are granted only when the leave serves the long term best interests of academic programs at Iowa State University.

Ordinarily, leaves of absence are not granted to faculty who have accepted new permanent employment nor are they granted to untenured faculty in their terminal year of employment.

#### **4.5.4 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.

#### **4.5.5 Adoption Leave**

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

#### **4.5.6 Family and Medical Leave**

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, <http://www.hrs.iastate.edu/benefits/homepage.shtml>.

#### **4.5.7 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.

## **Faculty Handbook - 5. Evaluation and Review**

### **5.1 [Evaluation and Review](#)**

#### **5.1.1 [Evaluation of Faculty Members](#)**

##### **5.1.1.1 [General Policies and Procedures](#)**

- 5.1.1.2 [Annual Reviews](#)
- 5.1.1.3 [Preliminary Review of Probationary Faculty](#)
- 5.1.1.4 [Promotion and/or Tenure Review](#)
- 5.1.1.5 [Position Responsibility Statement](#)
  - 5.1.1.5.1 [Procedure \(Meditation Guidelines\) to Handle Disagreements Related to the Position Responsibility Statement](#)
- 5.1.1.6 [Joint Appointment](#)
- 5.1.2 [Evaluation of Department Chairs](#)
- 5.1.3 [Evaluation of College and Central Administrators](#)
- 5.2 [Promotion and Tenure of Tenured and Tenure-Eligible Appointments](#)
  - 5.2.1 [General Policies on Tenure](#)
    - 5.2.1.1 [Eligibility for Tenure](#)
    - 5.2.1.2 [Tenure for Faculty in Administrative Positions](#)
    - 5.2.1.3 [Terms of Probationary Service](#)
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  - 5.2.3 [Qualifications for Academic Rank and Tenure](#)
    - 5.2.3.1 [Assistant Professor](#)
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    - 5.2.4.2.3 [Promotion and Tenure Committee](#)
    - 5.2.4.2.4 [Department Chair](#)
    - 5.2.4.2.5 [Notification Procedure](#)
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  - 5.2.4.3 [College Review](#)
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## **5.1 Evaluation and Review**

Approved by Faculty Senate (3/24/98)

Approved by the General Faculty (5/1/98)

Incorporating editing and revisions as approved by

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Approved by University Administration Provost and President (11/2/98)

Approved by Board of Regents (12/3/98)

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

### **5.1.1 Evaluation of Faculty Members**

#### **5.1.1.1 General Policies and Procedures.**

For purposes of evaluating performance, Iowa State University uses the following forms of faculty review:

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

#### **5.1.1.2 Annual Reviews.**

Faculty members are reviewed annually for performance appraisal and development on the basis of their position responsibility statement. (see [Position Responsibility Statement](#)) This review may serve as a basis for determining merit salary increases.

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

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

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



Faculty with part-time appointments will be reviewed on the normal annual review cycle. For purposes of annual review, the percentage of the appointment must be taken into account when considering the appropriate level of achievement in that year.

### **5.1.1.3 Preliminary Review of Probationary Faculty.**

Probationary faculty members are typically reviewed by their departments in the second or third year of their appointments. The purpose of this review is to provide constructive, developmental feedback to probationary faculty regarding progress in meeting departmental criteria for promotion and/or tenure. This review also informs the decision to reappoint during the probationary period. (see [3. Appointment Policies and Procedures](#))

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

Tenure-eligible faculty members with either non-permanent or permanent part-time appointments will have a preliminary departmental review during their third year of employment. This review includes input from departmental faculty. This is intended to provide feedback to the faculty member early in his/her probationary period. This review also informs the decision to reappoint during the probationary period. A second preliminary review will occur in the sixth year of service, unless a promotion/tenure review will take place in the subsequent year. Thus a part-time tenure-eligible faculty member will likely have two preliminary reviews. No contract for a tenure-eligible faculty member will exceed four years. Each tenure-eligible faculty member who has had a non-permanent or permanent part-time appointment will have his/her schedule of preliminary and tenure review updated each year at annual review.

Approved by the Faculty Senate December 12, 2006

### **5.1.1.4 Promotion and/or Tenure Review.**

The evaluation for promotion and/or award of tenure initially takes place within the department, with review at each administrative level above the department. Review of departmental recommendations at the college level must involve faculty from outside the department concerned. For college procedures related to faculty involvement see the section on College Review in "Procedures for Promotion and Tenure Review." The evaluation procedures for award of tenure are those used for evaluation for promotion. For full descriptions of the standards, qualifications, and procedures see [5.2.2 Standards for Promotion and Tenure](#), [5.2.3 Qualifications for Academic Rank and Tenure](#), and [5.2.4 Procedures for Promotion and Tenure Review](#).

### **5.1.1.5 Position Responsibility Statement.**

It is the policy of Iowa State University that evaluations of tenure-eligible/tenured faculty are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. The results of all reviews must be shared with the individual faculty members.

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

The statement will be subject to regular review by the faculty member and his/her chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The statement should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. The descriptions should be brief but may include detail important to the department and/or faculty member. The position responsibility statement cannot be changed unilaterally by either the chair or the faculty member. The governance document in each department may specify the procedure by which a position responsibility statement can be changed. The policy for changing the PRS for a non-tenure-eligible faculty member is found in section 5.4.1.2 Henceforth, the statements in this section will relate only to tenure-eligible and tenured faculty.

At the time of appointment or within the first semester of the appointment, the chair and the new tenure-eligible/tenured faculty member will agree on a position responsibility statement that should be based on the job advertisement. This document will be signed and dated by both parties. The signed and dated copy will be on file in the faculty member's personnel file and in the dean's office. This PRS should stand for the first three years of appointment. In most cases, this initial statement will remain in effect until the tenure review, unless the new faculty member is already tenured. Any changes in the expectations for the tenure-eligible/tenured faculty member must be made in consultation between the chair and the faculty member.

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

At least every five years as part of the annual review process, tenured faculty members will re-evaluate their position responsibilities with their chairs. The statement may be reviewed and/or changed more frequently as part of the annual review process, but this is not mandated. Any changes in the statement must be made in consultation between the chair and the tenured faculty member and signed and dated by both parties. The signed and dated copy will be on file in each faculty member's personnel file and in the dean's office.

In the case of faculty members who have appointments in two departments (or a department and a program), a position responsibility statement will be written by the faculty member and the two

chairs and signed and dated by all three parties. Each department and college involved will receive copies of those statements as indicated above.

Department chairs will have a position responsibility statement, written by the department chair and the dean, describing the administrative and other departmental responsibilities of the position.

### **5.1.1.5.1 Procedure (Mediation Guidelines) to Handle Disagreements Related to the Position Responsibility Statement (for tenure-eligible/tenured faculty only)**

When both parties (the tenure-eligible/tenured faculty member and the department chair) agree to the Position Responsibility Statement, it will be signed by both parties and dated. If however one of the parties disagrees with a proposed change to the faculty member's PRS, either party may refer the matter to the PRS Mediation Panel, which will be in place in each department. This panel will consist of one tenured faculty member selected by the faculty member involved in the disagreement and one tenured faculty member selected by the department chair. A third tenured faculty member will also serve, and unless the department decides otherwise, the default policy for obtaining that member will be by faculty election in the department at the beginning of each year<sup>1</sup>. The elected faculty member must be in place as soon as possible following passage of this change and no later than the end of the following semester. The faculty members selected by the two parties will be selected at the time of the disagreement between those two parties.

The party referring the matter to the PRS Mediation Panel will submit to the panel the faculty member's existing PRS, the text of the proposed PRS, an explanation of why the change is being sought/or is not acceptable, and the faculty member's curriculum vita. The other party should provide a written explanation of why the proposed change is not acceptable/is being sought. The PRS Mediation Panel will review the materials that have been submitted, meet with both parties, deliberate on the issue, and deliver a written opinion in a timely fashion (within two months) on how the disagreement should be resolved. The faculty member and the department chair should then reconsider the matter to see if an agreement can now be reached based on the panel's recommendation. If an agreement between the faculty member and the department chair does not then emerge within ten working days, the matter will be forwarded by the party disagreeing with the proposed change to the faculty member's college where a mechanism, which will be fair and equitable to both parties (e.g., elected group) will be in place for further consideration and resolution. If the issue is not resolved at this level, the matter will be taken to the dean of the college by the party disagreeing with the proposed change.

During the time of this mediation process, the existing signed and dated Position Responsibility Statement will remain in effect.

Approved as amended by the Faculty Senate 2/13/07.

<sup>1</sup>Departments who desire another method of obtaining the third member may choose one of the following: a) a tenured faculty member who is chair of an elected departmental council; b) a

tenured faculty member who has been elected by the department to the promotion and tenure review committee and who chairs that committee; c) a tenured faculty member who has been elected by the department to the post-tenure review committee and who chairs that committee.

### **5.1.1.6 Joint Appointment.**

Evaluation of a person holding rank in more than one department should be initiated and conducted by the primary department, with advice from the secondary department. The individual's Letter of Intent (for new appointments) and the position responsibility statement will specify the primary department. Prior to the review, the two chairs should decide on the role to be played by the secondary department, including the preparation of the documentation from the secondary department and the process for including that documentation in the review. In cases with an equal division of responsibilities, the departments may agree to conduct separate reviews.

### **5.1.2 Evaluation of Department Chairs**

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

### **5.1.3 Evaluation of College and Central Administrators**

For information regarding the evaluation of a college dean, see [Policy for Faculty Involvement in Evaluation](#).

For information regarding faculty review of central administrators, see [5.6. Evaluation of Central Administrators](#).

## **5.2 Promotion and Tenure of Tenured and Tenure-Eligible Appointments**

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

## 5.2.1 General Policies on Tenure

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

Tenure is the keystone for academic freedom; it is essential for safeguarding the right of free expression and for encouraging risk-taking inquiry at the frontiers of knowledge. Both tenure and academic freedom are part of an implicit social compact, which recognizes that tenure serves important public purposes and benefits society. The public is best served when faculty are free to teach, conduct research, provide extension/ professional practice services, and engage in institutional service without fear of reprisal or without compromising the pursuit of knowledge and/or the creative process.

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

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

After the award of tenure, faculty members undergo annual reviews and, as appropriate, reviews for promotion. A tenured faculty member may be dismissed only for adequate cause as defined in section [7.2. Faculty Misconduct](#). Denial of faculty appointment or reappointment, or removal

or suspension from office, or censure, or other penalty must not be based upon any belief, expression, or conduct protected by law or by the principles of academic freedom.

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

### **5.2.1.1 Eligibility for Tenure.**

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

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

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

### **5.2.1.2 Tenure for Faculty Members in Administrative Positions.**

At Iowa State University, the appointment of an individual to an administrative position does not automatically guarantee tenure in a department.

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

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

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

### **5.2.1.3 Terms of Probationary Service.**

The date that a tenure-eligible faculty member actually begins the performance of his or her duties at or on behalf of Iowa State University marks the beginning of the probationary period, except for mid-year appointments. The length of the probationary period must be specified at the time of the initial appointment. The length of the probationary period may exceed seven years only for faculty who have had an extension of the tenure clock or for faculty on part-time appointment for a portion of the probationary period.

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

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

Tenure-eligible faculty members with part-time appointments during the probationary period will be reviewed for tenure in the equivalent of the sixth year of full time service during the regular P&T review cycle. The years of full time service during a part-time appointment will be calculated as the summed duration of the part-time appointment in years multiplied by the fraction of the appointment. After summation of the part-time appointment, a remaining partial year less than or equal to 0.5 years of service will be rounded down to zero years, whereas a partial year greater than 0.5 years will be rounded up to 1.0 years. Therefore, faculty members will ordinarily be reviewed for tenure in the year following completion of a sum of calculated full time service no greater than 5.5 years. Recommendations for awarding of tenure before this schedule require documentation of truly exceptional accomplishments. Under no circumstances, however, will a tenure-eligible faculty member be reviewed for tenure later than during his/her tenth year of service. If denied tenure, a faculty member on part-time appointment has only one year of appointment beyond the denial.

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

### **5.2.1.4 Extension of the Probationary Period**

Section 5.2.1.4 was approved by the Faculty Senate on March 26, 2002 and by the administration on April 29, 2002.

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 interfere significantly with the faculty member's opportunity to develop the qualifications necessary for tenure in the time allowed. It is the intent of this policy to describe legitimate circumstances in which a faculty member might be granted an extension of the probationary period.

A faculty member may request an extension of the probationary period based upon such circumstances. The request for an extension should be submitted in writing to the department chair, the dean of the college, and the provost as soon as possible but no later than April 1 before the academic year in which the third-year review or tenure review is scheduled to be conducted. Requests should clearly explain the reasons for granting an extension of the probationary period and will be acted upon promptly. Requests for extension due to the birth of a child or the adoption of a child under age five will be submitted to and approved by the chair, dean of the college, and provost. The chair, dean of the college, and provost, must approve requests based on other circumstances.

If the faculty member requests an extension, the faculty member must acknowledge that tenure cannot be claimed on the basis that the total length of employment has by then extended beyond seven years. A faculty member may be granted only two one-year extensions during the probationary period.

Scholarship accomplished by a tenure-track faculty member during an extension period shall be counted as part of a candidate's record. Standards regarding what constitutes a record deserving of tenure shall not be raised to adjust for any granted extension.

#### **5.2.1.4.1 Extending the Probationary Period for the Birth of a Child or the Adoption of a Child under the Age of Five.**

A faculty member who serves as the primary or coequal caregiver will be granted, upon request, a one-year extension of the probationary period if the faculty member becomes a parent during the first three years of probationary service or within two years prior to appointment at the University. If the faculty member has not previously had more than one extension, a request for extension based upon the arrival of a child will be granted.

A faculty member who serves as the primary or coequal caregiver will be granted, upon request, a one-year extension of the probationary period if the faculty member becomes a parent after the



third-year review. If the faculty member has not previously had more than one extension, a request for extension based upon the arrival of a child will be granted.

Requests for an extension based upon becoming a parent should be made within two years of the arrival of a child. The faculty member will be granted an extension, upon request, even if he or she does not take leave for the arrival of the child.

#### **5.2.1.4.2 Extending the Probationary Period for Significant Responsibilities Related to Elder, Spousal or Partner, or Dependent Care.**

Elder or dependent care may be the care of a spouse, domestic partner, mother, father, sister, brother, daughter, son, grandparent, grandchild, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, grandparent-in-law, grandchild-in-law, or corresponding relatives of the employee's partner, other persons for whom the employee is legally responsible, and anyone who stood in *loco parentis* to the employee as a child. Such circumstances are those in which the dependent person is in need of special medical or living assistance.

A faculty member may request an extension of the probationary period when the tenure-track faculty member has significant responsibilities with respect to elder, spousal or partner, or dependent care obligations when those circumstances significantly impede progress of the faculty member toward achieving tenure.

Requests for an extension based upon elder or dependent care should be made within two years of the onset of any condition requiring care, or within two years of the faculty member's becoming responsible for care. The request should contain documentation of any medical or other condition that requires special assistance from the faculty member together with a discussion of the need for that faculty member to provide assistance. The documentation will be maintained in a confidential manner.

#### **5.2.1.4.3 Extension of the Probationary Period for Medical Condition of the Faculty Member.**

A faculty member may request an extension of the probationary period for appropriate medical reasons.

Requests for an extension based upon medical condition should be based upon a medical condition arising or reappearing after accepting a position. The request should contain medical documentation of the illness or disability and a description of the effect upon the faculty member's work. The documentation will be maintained in a confidential manner.

#### **5.2.1.4.4 Extension of the Probationary Period for Other Reasons.**

- A faculty member may request an extension of the probationary period because of a major shift in the departmental mission or in the faculty member's position responsibility statement. 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.
- A faculty member who requests a leave of absence from Iowa State University during the probationary period may, in appropriate circumstances, also request an extension of the probationary period for the length of the leave of absence.

#### **5.2.1.4.5 Extension of the Probationary Period for Faculty on Part-time Appointment.**

For faculty members on part-time appointment, extension of the tenure-clock will not be permitted to take faculty past eleven years of service, with mandatory tenure review no later than year ten.

#### **5.2.1.5 Credit for Prior Service.**

When a faculty member with prior experience in a faculty position at another academic institution is appointed on a probationary faculty appointment at Iowa State University, a probationary period is established for the individual as part of the employment agreement. For the faculty member this could result in a total probationary period in his/her discipline that may exceed seven years.

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

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

#### **5.2.1.6 Criteria for Awarding Tenure.**

It is the policy of Iowa State University that all faculty of the university shall be clearly informed as to the personnel policies of the institution. Personnel policies of the institution are contained in the Faculty Handbook, the University Policy Manual,

<http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap3toc.htm> and in departmental and college governance documents as well as in additional supplemental information provided to departmental administrative officers. For each faculty member, the conditions of employment, including the length of appointment, shall be clearly stated in writing, along with a statement specifying tenure status and length of probationary period.

Tenure eligible faculty not initially hired on part-time appointment may request the conversion of their position to a non-permanent part-time appointment. At the time these changes are made, the conditions of employment, including the revised length of appointment and the review schedule, shall be clearly stated in writing, along with a statement specifying tenure review status and length of the revised probationary period.

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

The criteria by which faculty with part-time appointments are evaluated for tenure shall not differ from the criteria by which full time faculty are evaluated. At the time of tenure review, faculty with part-time appointments will have accumulated an equivalent amount of service to those with full time appointments.

## **5.2.2 Standards for Promotion and Tenure**

### **5.2.2.1 Introduction.**

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

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

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual's current position responsibilities and activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/ professional practice, and (4)

institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements.

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

## 5.2.2.2 Scholarship.

### 5.2.2.2.1 Meaning of Scholarship

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

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

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

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

Table 1. The Nature of Scholarship

Character of scholarship	Audiences for scholarship	Means of communicating scholarship	Criteria for validating scholarship	Means of documenting scholarship
Develops and communicates new	Peers, undergraduate	Teaching materials and methods,	Originality, significance,	Present evidence that creative

understanding and insights. Generates, synthesizes, interprets, critically analyzes, and communicates new knowledge, methods, understandings, technologies, materials, uses, insights, beauty and so forth.	students, graduate students, post-doctoral associates, users, patrons, publics, etc.	classes, curricula; publications, presentations, exhibits, performances, patents, copyrights, distribution of materials or programs, etc.	accuracy, replicability, scope, applicability, breadth, depth and duration of influence, persistence of influence or use, adoption by peers, impact or public benefits, etc.	intellectual work was validated by peers; communicated to peers and broader audiences; recognized, accepted, cited, adopted, or used by others. In other words, that it made a difference.
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Table 1 describes the parameters to be used when judging the scholarly nature of a faculty member's achievements in all evaluation reviews.

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

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

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

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

In the promotion and tenure review process, the emphasis is on the critical evaluation of the scholarly nature of the candidate's achievements by professional peers, including peers external to the university. Evidence should be presented as to the impact of the scholarship in terms of its

depth, duration, and/or persistence of influence or use (e.g., citations, adaptations or use by others), as well as its public and critical appreciation. Table 1 provides the framework for the evaluation.

## **5.2.2.3 Teaching**

### **5.2.2.3.1 Scholarly Teaching.**

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

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

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

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

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

- contributions to curricular development, including collaborative courses and programs and service on curriculum committees
- pedagogical innovation, including the incorporation of new technologies and approaches to learning and assessment
- documented study of curricular and pedagogical issues, and incorporation of this information into the classrooms
- development of teaching materials
- pedagogically oriented research
- involvement in student research projects
- contributions to professional societies and organizations that seek to improve teaching

- commitment to advising, which will include knowledge about curricular and extracurricular matters as well as an ability to aid students in using university resources

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

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

The effectiveness of the candidate's teaching activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1. The scholarship resulting from teaching is documented through such means as peer reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures and conference papers.

### 5.2.2.3.2 Scholarship of Teaching and Learning (SoTL)

The evolving body of research on learning has fostered new forms of inquiry into teaching. By better informing teaching, the scholarship of teaching and learning (SoTL) enhances student learning. Every faculty member with a teaching appointment should engage in scholarly teaching because of its centrality to the university's mission. Table 2 shows a comparison of scholarly teaching and SoTL. SoTL ultimately improves student learning and occurs when “our work as teachers becomes public, peer-reviewed and critiqued, and exchanged with other members of our professional communities so they, in turn, can build on our work, these are the qualities of scholarship.” [This quote is derived from work by the Research University Consortium for the Advancement of Scholarship of Teaching and Learning and Lee Shulman, President of the Carnegie Foundation for the Advancement of Teaching.]

Table 2. Comparison of scholarly teaching and scholarship of teaching and learning (SoTL)

	Scholarly Teaching	SoTL
Faculty work as teachers is anchored in the literature of teaching and learning.	X	X
Faculty work as teachers emphasizes documenting student learning.	X	X
Faculty work as teachers is publicly shared with our colleagues and peers.		X
Faculty work as teachers is externally peer-reviewed as scholarship.		X
The evidence of the outcomes of faculty work as teachers is disseminated through professional outlets.		X

SoTL extends across all disciplines. However, the way that SoTL manifests itself is defined by each discipline. At Iowa State University, SoTL contributes to the discovery of knowledge about teaching and learning in higher education and must be held to the same standards of rigor, relevance, peer review, and dissemination as other forms of disciplinary research and creative activity. While SoTL may be an important part of the promotion and tenure process, it should not displace high quality scholarly teaching in annual performance reviews and in promotion and tenure decisions. Although all faculty should engage in scholarly teaching, not all faculty need to engage in SoTL. Scholarly teaching is part of a faculty member's teaching responsibilities; if a faculty member chooses to pursue SoTL, this work is part of their scholarship/creative activity/research responsibilities.

Approved by the Faculty Senate 4/25/06.

### **5.2.2.4 Research /Creative Activities.**

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

Some examples of research/creative activity include the following:

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

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

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

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



## 5.2.2.5 Extension/Professional Practice.

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

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

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

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

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

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

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

consider breadth, depth, and duration of influence or use; public appreciation and benefit; and applicability or adoption by peers.

### **5.2.2.6 Institutional Service.**

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

## **5.2.3 Qualifications for Academic Rank and Tenure**

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

### **5.2.3.1 Assistant Professor.**

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

### **5.2.3.2 Associate Professor and/or Tenure**

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

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

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

### **5.2.3.3 Professor.**

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

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

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

### **5.2.4 Procedures for Promotion and Tenure Review**

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

The procedure for mandatory and non-mandatory cases vary slightly. Mandatory cases are those which involve review for tenure in the penultimate year of the appointment. In these cases, the final administrative recommendation is made by the President. Mandatory cases are always sent through the administrative chain to the President to determine whether a positive recommendation for tenure and promotion will be made to the Board of Regents. In non-mandatory cases, the department, the dean or the provost may make a decision not to forward a positive recommendation, and that action is the final administrative action. Reviews which occur in the final year (after denial in the mandatory year) are non-mandatory cases.

#### **5.2.4.1 Voting Procedure**

Policy approved by the Faculty Senate on March 7, 2006.

Policy approved by the Provost and President.

Policy amended and approved by the Faculty Senate on 2/13/07.

In order to avoid undue or unfair influence in promotion and tenure decisions, promotion and tenure procedures must ensure that the guiding principle of “one-person—one-vote” is complied with where a vote, or the equivalent of a vote, is defined as a vote, advice, or a recommendation on the specific question of whether or not a candidate should receive tenure and/or promotion. Specifically:

- 1) If a faculty member votes on a promotion and tenure decision as a member of a departmental promotion and tenure committee, that faculty member may not vote again on the same decision at the departmental, college, or other levels.
- 2) If a faculty member votes in a promotion and tenure decision at the departmental level, that faculty member may not vote again on the decision at the college or other levels.
- 3) Since the chair of the department independently evaluates promotion and tenure decisions, he or she may not also vote on the decision at the departmental faculty, college, or other levels.
- 4) Administrators participating in a promotion and tenure decision can only participate at the appropriate administrative level and are allowed to vote only once on the decision.

In order to promote accountability and avoid undue influence in promotion and tenure decisions, advice by members of advisory committees on whether or not a candidate should receive promotion and/or tenure at any level (departmental, college, and higher) must be considered a vote or the equivalent of a vote, and thus should be the advisory committee members' only opportunity for input in a promotion and tenure decision. Therefore, a faculty member participating in a promotion and tenure advisory committee at any level (and thus voting or providing the equivalent of a vote) may not vote again at any other level on the promotion and tenure decision for that candidate. Votes or advice concerning the process or readiness of a portfolio are not in violation of this policy. For example, advice to a candidate on how to improve their portfolio or advice to the department about the completeness of the portfolio or advice to an associate professor about the timing of a promotion application, etc. are process issues not promotion and tenure decision issues.

See also sections [5.2.4.2.3](#) and [5.2.4.3](#).

## **5.2.4.2 Department Review.**

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

### **5.2.4.2.1 Promotion and Tenure Document.**

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

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

- how faculty members are selected for departmental review for promotion and/or tenure

- the composition and means of selection of the department promotion and tenure committee and of any other department committees that may be involved in the review process
- the definition of conflict of interest operative in departmental review
- the procedures to be followed by the department promotion and tenure committee and related committees in conducting the reviews
- the role of the chair in the department promotion and tenure review process
- the process and circumstances under which a review may be postponed
- the types and sources of information that the department review committee will consider in conducting its review
- the means by which persons being considered submit information and documentation for the review process
- the procedures for obtaining any external evaluations used by the department in evaluating the performance of candidates
- the definition of the factual information in the dossier subject to review by the faculty member before it is advanced from the department
- the procedures for the notification of the results of the reviews

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

#### **5.2.4.2.2 Joint Appointment Procedures.**

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

#### **5.2.4.2.3 Promotion and Tenure Committee.**

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

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

#### **5.2.4.2.4 Department Chair.**

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

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

#### **5.2.4.2.5 Notification Procedure.**

The chair will inform each candidate in writing before the department's recommendations are submitted to the college, whether a recommendation will be forwarded and, if so, the nature of the recommendation or recommendations. Persons who are not being recommended by either the promotion and tenure review committee or the chair, or both, will be informed by the chair 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.

#### **5.2.4.2.6 Right to Review Factual Information.**

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

#### **5.2.4.2.7 Treatment of Late-Developed Information**

Late-Developed Information is information that becomes available after the departmental P&T recommendation has been sent to the College and that either the candidate or the department chair considers to be of potential relevance (whether favorable or unfavorable) to the case. Such information shall be forwarded by the department chair to the next level in the administrative chain that has not yet made its decision. In the case of unfavorable information, the candidate shall also be notified of its nature and the evidence on which it is based. Transmittal of late-developed information shall include an indication of when the information became available and which evaluators have had access to it. It is the responsibility of recipients of late-developed

information to consider it, determine the degree of its relevance and decide upon what weight it ought to have in making their decision.

### **5.2.4.3 College Review.**

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

Administrative faculty members should cast their one vote in a given promotion and tenure decision at the appropriate administrative level. A non-administrative faculty member's one vote in a promotion and tenure decision about a member from their own department should be cast at the departmental level (as a member of a promotion and tenure committee or as part of the department faculty), not at the college or higher levels. Not all departments are equally represented on college or higher level promotion and tenure committees. Thus, to avoid undue influence, only faculty who are members of departments other than that of the promotion and tenure candidate may vote in promotion and tenure decisions at these levels.

#### **5.2.4.3.1 Promotion and Tenure Document.**

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

#### **5.2.4.3.2 Promotion and Tenure Committee.**

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

#### **5.2.4.3.3 Dean.**

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

The dean will inform in writing each candidate and the respective chair and the college committee whether a recommendation will be forwarded to the provost and, if so, the nature of

the recommendation or recommendations. If the recommendation is contrary to the departmental, chair, and/or college committee recommendations, the dean will summarize in writing the reasons as part of his/her recommendation. The chair will forward the dean's recommendation and summary to the department promotion and tenure committee.

#### **5.2.4.4 University Review.**

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

##### **5.2.4.4.1 Provost.**

The provost makes his/her recommendations to the president of the university. The provost will inform in writing each candidate and the respective chair and dean whether a recommendation will be forwarded to the president and, if so, the nature of the recommendation or recommendations. If the provost's recommendation is contrary to the dean's recommendation, the provost will summarize in writing the reasons as part of his/her recommendation. The chair will forward the provost's recommendation and summary to the departmental promotion and tenure committee.

##### **5.2.4.4.2 President.**

The president makes his/her recommendations for the university to the Board of Regents. Only positive recommendations will be sent to the Board for action. The president will inform in writing each candidate, the respective chair and dean, and the provost of the whether a positive recommendation is being sent to the Board of Regents. If the presidential recommendation is contrary to the provost's recommendation, the president will summarize the reasons for his/her recommendation in writing. The chair and dean will forward the president's recommendation and summary to the respective promotion and tenure committees.

##### **5.2.4.4.3 Final Notification.**

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

##### **5.2.4.4.4 Effective Dates for Promotions.**

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

##### **5.2.4.4.5 Appeals.**



In a mandatory case, following the president's decision not to forward a recommendation to the Board of Regents, a faculty member has the right to appeal through administrative channels or through the Faculty Senate Committee on Appeals. An appeal through administrative channels should be made to the president in the form of a request for reconsideration of his/her decision.

In non-mandatory cases, a decision not to forward a positive recommendation for promotion and tenure may be appealed through administrative channels or through the Faculty Senate Appeals Committee when the chair, dean, provost or president decides not to forward the recommendation. An administrative appeal should be filed with the next person in the administrative chain, except in the case of an appeal of the president's decision, in which case the appeal should be made to the president in the form of a request for reconsideration of his/her decision.

## **5.3 Documentation Guidelines for Promotion and Tenure**

Approved by Faculty Senate (3/24/98)

Approved by the General Faculty (5/1/98)

Incorporating editing and revisions as approved by

Faculty Senate Executive Board (9/18/98)

Approved by the Faculty Senate (10/13/98)

Approved by University Administration Provost and President (11/2/98)

Approved by Board of Regents (12/3/98)

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

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

### **5.3.1 Candidate Responsibilities**

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

#### **5.3.1.1 Promotion and Tenure Vita.**

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

### **5.3.1.2 Candidate Information.**

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

### **5.3.1.3 Scholarship.**

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

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

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

### **5.3.1.4 Areas of Position Responsibilities and Activities:**

#### **5.3.1.4.1 Teaching.**

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

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

### **5.3.1.4.2 Research/Creative Activities.**

This section includes a listing of research/creative activities such as the following:

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

### **5.3.1.4.3 Extension/Professional Practice.**

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

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

### **5.3.1.4.4 Institutional Service.**

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

## **5.3.2 Faculty Portfolio**

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

### **5.3.2.1 Scholarship.**

Required for all candidates. This section provides the opportunity for the candidate to demonstrate excellence in scholarship. It begins with an overall statement of the candidate's

accomplishments in scholarship as they relate to teaching, research/creative activities, and extension/professional practice. It must include representative scholarly materials that have been validated by peers.

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

### **5.3.2.2 Areas of Position Responsibilities and Activities.**

This section provides the opportunity for the candidate to demonstrate effectiveness in those areas he/she has appointment responsibilities.

#### **5.3.2.2.1 Teaching.**

This section may include material such as the following:

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

#### **5.3.2.2.2 Research/Creative Activities.**

This section may include material such as the following:

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

#### **5.3.2.2.3 Extension/Professional Practice.**

This section may include material such as the following:

- descriptions of extension/professional practice appointment responsibilities
- representative workshop, seminar, training materials
- unpublished reports, studies, etc.

- representative newsletters, brochures, reviews, journals, etc.
- peer evaluation or ratings of extension/professional practice effectiveness
- client assessments
- candidate's extension/professional practice philosophy

### **5.3.2.2.4 Institutional Service.**

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

## **5.3.3 Department and Department Chair Responsibilities**

### **5.3.3.1 Letters of Evaluation (provided by the department).**

Approved by Faculty Senate 2/14/2006, 3/7/2006, 1/13/2009, 2/10/2009, 3/10/2009; approved by president and provost 1/15/2009 and 3/19/2009.

The chair and/or the department review committee solicits letters from qualified reviewers with the understanding that, insofar as possible, access to them will be limited to persons involved in the promotion and tenure decision. All solicited letters are treated as part of the evaluation process and must be forwarded on to college and university review levels. External letters are confidential. They are to be available for review by all those individuals who evaluate candidates either in a formal vote or advisory capacity as part of the promotion and/or tenure process as defined in Section 5.2.4.1. These letters are not to be shared with others.

Solicited Letters of Evaluation from Professionals in the Field, outside the Institution (six maximum). Letters should be solicited from appropriate professionals in the field and chosen for their ability to evaluate the candidate's activities and accomplishments impartially. They should generally be tenured professors at peer institutions or individuals of equivalent stature outside of academe who are widely recognized in the field. Letters should primarily focus on the aspects of the candidate's work that qualify as scholarship. While in some cases this might mean a focus on one area such as teaching or research, in others it might entail a focus on a mixture of scholarship in teaching, research/creative activities and/or extension/professional practice. At least one of the reviewers, but not all, should be suggested by the candidate. Candidates may consult with ISU colleagues about appropriate reviewers and their institutions. Candidates may submit a list of up to three people in their field who will not be contacted as reviewers. This request, if made, must be put forward at the same time candidates submit names of potential reviewers. Letters soliciting outside review of a candidate's work must make clear what is to be covered by the reviewer. These letters sent by the department soliciting external reviews may optionally include or exclude asking reviewers their opinions about whether candidates would or should receive tenure and/or promotion at the reviewer's institution or at Iowa State University. The department must make any request regarding this summative question consistent for all candidates and all reviewers.

Letters from Co-authors, Co-principal Investigators, etc. In general, reviewers should not be colleagues with whom the candidate has frequently collaborated. When necessary, however,

these individuals should be solicited to detail the nature of collaborative projects or to respond to specific questions.

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

### **5.3.3.2 Evaluations (provided by the department and chair).**

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

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

### **5.3.3.3 A Recommendation for Promotion and Tenure Form (provided by the chair)**

## **5.3.4 Implementation Dates**

Effective Dates

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

Promotion and Tenure.

- An untenured tenure-track faculty member whose appointment began before July 1, 1999 may choose to seek tenure and promotion under the pre-1999 P&T Document (see 1998 *Faculty Handbook*, <http://www.provost.iastate.edu/handbook/1998/person.html#policy>) until the tenure decision date specified in his/her Letter of Intent. This decision should be made in consultation with the chair and the appropriate departmental committee. The decision to elect the pre-1999 P&T Document must be conveyed in writing to the chair within 30 days after completion of the Preliminary Review of Probationary Faculty (see [5.1.1. Evaluation of Faculty Members](#)) or, if this review has already been held, by August 1, 1999.

- A tenured faculty member seeking promotion on or after July 1, 1999 may choose the pre-1999 P&T Document (see 1998 *Faculty Handbook*, <http://www.provost.iastate.edu/handbook/person.html#promo>) for a review to be completed before July 1, 2002. This choice must be conveyed to the chair in writing by July 1 of the year in which the review process is undertaken. Consultation with the chair and the appropriate departmental committee is expected. If the faculty member does not elect the pre-1999 document, this handbook will apply.

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

### **5.3.5 Post Tenure Review Policy**

Approved by Faculty Senate (3/23/99)

Approved by Faculty Vote (4/30/99)

Approved by Board of Regents (6/16/99)

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

This review does not change the university's commitment to academic freedom, nor the circumstances under which tenured faculty can be dismissed from the university. Grounds for dismissal remain those listed in the *Faculty Handbook* under [7. Faculty Conduct Policy](#).

The plan for review should designate the following:

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

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

## **5.4 Evaluation, Renewal, and Advancement of Non-Tenure-Eligible Appointments**

(For appointment policies of non-tenure-eligible appointments, see section 3.3.2)

Faculty Senate approved this policy on December 11, 2001 and the university Administration approved this policy in April of 2002. Revisions were approved by the Faculty Senate and the Administration in 2003.

### **5.4.1 Evaluation, Renewal, and Advancement Policies for Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments.**

Non-tenure-eligible faculty positions are term appointments eligible for renewal based upon the quality of performance and the continuing need of the unit. They are subject to approval by the Dean and Provost. Individuals appointed to these positions will be evaluated for compensation and advancement using established criteria appropriate to their positions. Evaluations for renewal of appointment will be conducted by an appropriate faculty committee, and recommended by the department chair at the time of reappointment. Additionally performance evaluations conducted by a faculty committee should be completed at least every six semesters of employment for those who will be considered for future re-appointment and shall be based on the individual's PRS. (See 5.1.1.2 for related information on annual reviews.)

Approved as revised by the Faculty Senate on January 15, 2008, and by the President and Provost on January 23, 2008

#### **5.4.1.1 Eligibility Criteria**

- Lecturer and Clinician<sup>1</sup>: a limited term, full- or part-time appointment of from one semester to three years and renewable. After a minimum of six years or the completion of 12 semester FTEs of employment, the individual has the right to be reviewed for advancement by the appropriate departmental committee. Criteria for advancement shall be based on the quality of work relative to the individual's PRS. The three outcomes of this review include: recommendation for advancement to Senior Lecturer or Senior Clinician; continuation of appointment as Lecturer or Clinician; or non-renewal of contract. Individuals who are not recommended for advancement are eligible to reapply in subsequent years. An outcome of the review process should be to provide constructive, developmental feedback to the individual regarding progress in meeting departmental criteria for advancement.
- Senior Lecturer and Senior Clinician<sup>1</sup>: a limited term, full- or part-time renewable appointment not to exceed five years, requiring a notice of one year of intent not to renew. To be eligible for appointment as Senior Lecturer or Senior Clinician the



individual shall have served as a Lecturer or Clinician or its equivalent for a minimum of six years or completed 12 semester FTEs of employment.

- Adjunct appointment: a limited term, full- or part-time renewable appointment not to exceed five years for each appointment, requiring a notice of one year of intent not to renew except when the appointment is for a year or less.
- Professional and Scientific (P&S) non-tenure-eligible appointment: employees on P&S status may be appointed to limited term, renewable appointments, of from one to five years, to carry out faculty duties as specified in 3.3.2.5

<sup>1</sup> Colleges and other administrative units may substitute other descriptors in place of Clinician or Senior Clinician to reflect the usages and norms of their disciplines with approval of the Faculty Senate and the Provost.

<sup>2</sup> As specified in 3.3.2.4, the title of "adjunct instructor" is reserved "for persons with DVMs or the equivalent degree, who are performing faculty work as part of a PhD or specialty training program."

Tenured and tenure-eligible faculty shall be responsible for selecting, reviewing, and renewing non-tenure-eligible faculty appointments, consistent with the principles of shared governance, and in accordance with each unit's governance document. This purview includes all personnel carrying out instructional duties providing course credit.

Approved as revised by the Faculty Senate on January 15, 2008, and by the President and Provost on January 23, 2008

### **5.4.1.2 Evaluation, Renewal, and Advancement Procedures for Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments.**

In addition to the above principles established in conjunction with the Faculty Senate, the following practices and procedures shall apply:<sup>3</sup>

- Since the appointment of Lecturers and Clinicians is for a specified period of time, no special notice of intent not to renew is necessary.
- Persons on appointment as Lecturer or Clinician may be reviewed for advancement to Senior Lecturer or Senior Clinician and may be advanced without a search.
- Persons on adjunct appointment may be reviewed by an appropriate faculty committee for advancement to adjunct associate professor or adjunct professor using established criteria appropriate to the position.
- Persons appointed as Senior Lecturer and Senior Clinician must receive notice by May 15 of the year preceding the end of the term appointment (or at least 12 months in advance of the end of the term appointment when the appointment end date is not May 15) of intent to renew or not renew.

- Renewal of Senior Lecturers and Senior Clinicians or adjunct appointments must be approved by the dean and the provost. Request for approval should include a summary of the review results and a statement regarding the continuing need of the unit.
- Both full-time and part-time non-tenure-eligible faculty will receive annual reviews as well as review by a faculty committee at least every six semesters of employment.
- Review of individuals in these positions will be based on the Position Responsibility Statement (PRS) derived from the advertised position. At each renewal time, the Position Responsibility Statement may change, depending on the continuing and/or changing needs of the unit. The PRS will be discussed and disagreements negotiated at that time as a part of the renewal agreement. The agreed upon PRS will be signed by both parties and dated.

<sup>3</sup> For P&S employees, notice of intent not to renew is governed by the P&S appointment. Termination of the P&S appointment will also mean termination of the non-tenure-eligible appointment.

Approved as amended by the Faculty Senate 2/13/07

Approved as revised by the Faculty Senate on January 15, 2008, and by the President and Provost on January 23, 2008

### **5.4.1.3 Evaluation, Renewal, and Advancement of Adjunct Faculty Employed Elsewhere.**

Adjunct faculty are eligible for review for advancement in accordance with university promotion policies.

### **5.4.1.4 Evaluation, Renewal, and Advancement of Adjunct Faculty Employed by the University**

Adjunct faculty are eligible for review for advancement in accordance with university promotion policies.

### **5.4.1.5 Evaluation, Renewal, and Advancement of Professional and Scientific (P&S) Non-Tenure-Eligible Appointments**

A person employed in a P&S position and assigned non-tenure-eligible faculty responsibilities shall be evaluated in accordance with the procedures governing non-tenure-eligible appointments for that portion of their responsibilities related to their non-tenure-eligible appointment.

P&S employees who held adjunct rank at the Assistant, Associate or Full Professorial levels at the time of adoption of this policy (2/11/03) will retain these titles, with appropriate review and

approval by the departments in which the title is held. The term of these appointments shall be as previously specified or for a renewable term not to exceed five years. Departments will need to review employees who held Adjunct Instructor rank at the time of adoption of this policy (2/11/03), and will need to recommend to the college and provost future classification for these individuals.

### **5.4.2 Evaluation, Renewal, and Advancement of Continuous Adjunct Appointments**

Faculty on continuous adjunct appointment are eligible for review for promotion in accordance with university promotion policies and procedures. No new appointments may be made using this title.

### **5.4.3 Evaluation, Renewal, and Advancement of Visiting Appointments**

Visiting appointments are not renewable.

### **5.4.4 Evaluation, Renewal, and Advancement of Collaborators**

Collaborators are eligible for review for advancement in accordance with university promotion policies.

### **5.4.5 Evaluation, Renewal, and Advancement of Affiliates**

Affiliates are eligible for review for advancement in accordance with university promotion policies.

### **5.4.6 Evaluation, Renewal, and Advancement of Non-Tenure-Eligible Research (NTER) Faculty**

Appointments for all ranks of NTE research professors shall be for a stipulated time duration not to exceed five years per appointment period. There is no limit to the number of appointment periods or to time in rank except as noted in the following. Appointments are renewable at the discretion of the home department contingent on continuation of external funding (except that research professors supported by federal funds shall be governed by applicable federal policy) and departmental performance review. The provost shall approve reappointments. At any time during the contract period positions may be terminated without cause and/or due to lack of grant funding sufficient to cover salary and benefits through the term of contract (subject to federal guidelines when they apply).

1. Annual performance reviews shall conform to those for tenured and tenure-eligible faculty.
2. Performance review involving tenured and tenure-eligible faculty shall be done periodically, at least once every three years.

A NTER faculty member may be proposed for advancement to the next rank. Departments shall develop procedures for advancing NTER faculty. The standards for each rank shall be the same as the definitions for scholarship performance at rank for assistant, associate and professor ranks for tenure-eligible and tenured faculty. The advancement review process shall include tenured and/or tenure-eligible faculty and be the same as the review for tenure and promotion of tenure-eligible and tenured faculty.

Approved by the Faculty Senate on February 12, 2008, by the president and provost on February 15, 2008 and by the Board of Regents on May 1, 2008.

## **5.5 Evaluation of a College Dean**

Approved by Faculty Senate (11/13/90)

### **5.5.1 Policy for Faculty Involvement in Evaluation**

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

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

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

### **5.5.2 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.

### **5.5.3 Enabling Procedures**

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

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

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

## **5.6 Evaluation of a Teaching Assistant**

Approved by Faculty Senate (5/7/91)

### **5.6.1 Policy and Procedures for Evaluating Proficiency**

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

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

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

The departmental faculty has the responsibility to mentor and arrange instructional assistance for students who teach. Policies for evaluation need to be developed at that level to ensure both the quality of instruction and the sustained development of the teaching assistants' professional skills. Written standards and procedures for these evaluations should be developed in a collegial way at the department level and be provided to teaching assistants at the outset of their teaching appointments. Special attention should be paid to assuring that the standards, review procedures, and the evaluations themselves are fully communicated to the teaching assistants involved. Evaluations should take into account the assistants' knowledge of the subject matter, their ability with written and spoken English, and the social dynamics of the classroom including matters of age, gender, and cultural diversity. Student input will be included in evaluation.

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

(Also see [10.6.1 Oral Communication Competence](#))

## **5.7 Evaluation of Central Administrators**

Section 5.6 was approved by the Faculty Senate on 1/23/90.

### **5.7.1 Purposes**

This review program has the following two primary purposes:

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

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

### **5.7.2 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, vice president for business and finance, and vice president for student affairs.

Each review will have the following three parts:

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

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

### **5.7.3 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 goals, programs, services, staffing, resources, internal evaluation processes, and relations with other offices. The document should describe how the office and its responsibilities have changed over the past five years and what the impact has been on the university. Within the general categories indicated, the following questions should be addressed:

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

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

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

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

## **5.7.4 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:

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

## **5.7.5 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.

### **5.7.5.1 Schedule.**

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



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

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

### **5.7.5.2 Conduct of Reviews.**

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

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

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

### **5.7.5.3 Review Committee Reports.**

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

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

Once these processes have been completed, a final report will be written and forwarded to the president of the Faculty Senate who will inform the Senate about the major recommendations.

Copies of the final report will also be submitted to the administrator of the office under review (who may make copies for subordinates), to the president (or, if the president's office is under review, to the Board of Regents), and to the Faculty Senate Executive Board. A brief summary will be published in *Inside Iowa State* to alert the faculty to the fact that a review is completed.

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

Officer Evaluation Report. The review committee will solicit from all members of the university community written and/or oral evaluations concerning the performance of administrators under review. The Iowa State faculty members of the review committee will summarize the results of this survey in writing and prepare recommendations.

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

Follow-up Conference. The Senate president shall instruct the chairperson to reconvene the review committee approximately one year after the two evaluation reports are submitted to determine to what extent the recommendations contained in these reports are being adopted. The committee will solicit, through *Inside Iowa State*, 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.

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## **6.1 Introduction**

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

## **6.2 Honorary Degrees**

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

### **6.2.1 Eligibility**

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

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

### **6.2.2 Policies for the Selection Process**

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

appropriate academic unit before it is included in a recommendation forwarded to the president.

### **6.2.3 Criteria for the Selection of a Candidate**

- The primary criterion for the selection of a candidate is a career of superlative intellectual and/or creative activity.
- Attention must be given to calendar, nomination procedures, and documentation of a candidate's qualifications.
- Special emphasis should be placed on securing nominations for female and minority candidates.

### **6.2.4 Procedures for the Selection of a Candidate**

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

The following guidelines will apply in awarding honorary degrees:

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

## **6.3 Distinguished and University Professorships**

Approved as amended by the Faculty Senate on 3/27/07

Approved by the Faculty Senate on 3/06/01.

The Distinguished Professorship and University Professorship represent the highest academic recognitions at ISU and are bestowed on faculty who have demonstrated exemplary performance in their faculty activities. They represent the very best of our faculty. These two recognitions exist to reflect the fact that faculty have multiple responsibilities and that there are different ways for a faculty member to demonstrate excellence. The differences between the Distinguished

Professorship and the University Professorship are based on the nature and focus of the faculty member's accomplishments. The Distinguished Professorship is bestowed on faculty members who have outstanding accomplishments in their research and/or creative activities that have had a significant impact on their fields of expertise. The University Professorship is bestowed on faculty members who have made outstanding contributions to ISU that have significantly changed and improved ISU. These differences are described in detail in the sections below.

### **6.3.1 Distinguished Professor**

A Distinguished Professorship is awarded for exemplary performance in research and/or creative activities as reflected by a national or international reputation in the nominee's discipline. A Distinguished Professor above all else must have accomplishments in research, and/or creative activities that have had a significant impact on, or improved the quality of, their discipline. In addition a Distinguished Professor must have demonstrated outstanding performance in at least one other area of faculty responsibility: (1) teaching and advising, (2) extension/professional practice, or (3) institutional service.

#### **6.3.1.1 Eligibility**

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

#### **6.3.1.2 Procedures for the Selection Process**

The procedures for the nomination and selection process are provided on the Provost's web page under Faculty, Awards at <http://www.provost.iastate.edu/faculty/awards.html>.

The Distinguished Professor Nomination Review Committee is appointed by the Provost following procedures established by the Faculty Senate. The Distinguished Professor Nomination Review Committee receives nominations for Distinguished Professor from colleges and makes recommendations to the Provost.

### **6.3.2 University Professor**

The University Professorship recognizes faculty members whose professional work has focused upon effecting positive, significant institutional change at Iowa State University. A University Professor must above all else have acted as a change agent by having made significant contributions that have improved the university. This professional work must go beyond excellence in teaching or research. In addition to the area of these contributions, a University Professor must have demonstrated outstanding performance in at least one other area of faculty responsibility: (1) research and/or creative activities, (2) teaching and advising, or (3) extension/professional practice.

#### **6.3.2.1 Eligibility**

Nominees should hold the rank of professor and should have served for at least ten years on the Iowa State University faculty prior to the beginning of the academic year in which they are nominated. The nominees must be individuals whose contributions extend well beyond a one-time impact. Having held an administrative position in and of itself is insufficient for consideration for this recognition. Faculty who have served as administrators (e.g. department chairs, deans, vice president, provost, or staff members in those offices) may be nominated only after they have been out of their administrative roles and functioning as faculty members for at least three years.

### **6.3.2.2 Procedures for the Selection Process**

The procedures for the nomination and selection process are provided on the Provost's web page under Faculty, Awards at <http://www.provost.iastate.edu/faculty/awards.html>.

The University Professor Nomination and Review Committee is appointed by the Provost following procedures established by the Faculty Senate. The University Professor Nomination and Review Committee receives nominations from the colleges and makes recommendations to the Faculty Senate Executive Board. The Executive Board forwards recommendations to the Provost.

## **6.4 Emeritus Professor**

Approved by the Faculty Senate on 5/07/91.

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

The privileges enjoyed by emeritus faculty include the following:

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

### **6.4.1 Eligibility**

The following faculty are eligible for this award:

- A tenured faculty member who has attained the rank of professor and who retires immediately following ten or more continuous years of employment by Iowa State University, upon such retirement, automatically will be given emeritus designation at the rank of professor.
- Retired faculty members who do not meet the above criteria but who have distinguished themselves through meritorious service to the university and the profession also may receive the emeritus designation at the last rank held. These nominations must be initiated

by the faculty of the individual's department(s) and approved by the college and the Office of the Executive Vice President and Provost.

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

## **6.5 Awards**

Iowa State University maintains a system of Honors and Awards to recognize the accomplishments of faculty in teaching, research, institutional service, and professional practice. University awards for which faculty may be nominated and sources describing the nominating process are listed here.

A description of the award and criteria for submitting nominations for these awards may be found on the provost's web page: <http://www.provost.iastate.edu/faculty/awards/awards.html>

### **6.5.1 Teaching Awards**

ISU Foundation Award for Early Achievement in Teaching

ISU Foundation Award for Outstanding Achievement in Teaching

The Louis Thompson Distinguished Teaching Award

James Huntington Ellis Award for Excellence in Undergraduate Introductory Teaching

### **6.5.2 Research Awards**

ISU Foundation Award for Early Achievement in Research

ISU Foundation Award for Outstanding Achievement in Research

### **6.5.3 Extension and Professional Practice Awards**

ISU Foundation Award for Early Achievement in Extension or Professional Practice.

ISU Foundation Award for Outstanding Achievement in Extension or Professional Practice.

### **6.5.4 Academic Advising Award**

ISU Foundation Award for Excellence in Academic Advising

### **6.5.5 Institutional Service Award**



International Service Award (Formerly Wilton Park International Service Award)

## **6.5.6 Other awards also recognize faculty contributions and accomplishments.**

The Margaret Ellen White Graduate Faculty Award recognizes the outstanding efforts of major professors. A description of the award and criteria for submitting nominations may be found on the graduate college web page: <http://www.grad-college.iastate.edu/gpss/>.

The Presidential Service Award recognizes outstanding service of faculty and staff to Iowa State University. A description of the award and criteria for submitting nominations is available through the Office of the President.

The Regents Faculty Excellence Awards recognize faculty who have rendered significant service to Iowa State University and/or to the state of Iowa. A description of the award and criteria for submitting nominations may be found on the Faculty Senate web page: <http://www.facsen.iastate.edu/documents/facultyawards/Regent.html>.

## **6.6 Development Policies**

Iowa State University maintains a system of Honors and Awards to recognize the accomplishments of faculty in teaching, research, institutional service, and professional practice. University awards for which faculty may be nominated and sources describing the nominating process are listed here.

A description of the award and criteria for submitting nominations for these awards may be found on the provost's web page: <http://www.provost.iastate.edu/faculty/awards/awards.html>

### **6.6.1 Study Opportunities**

Faculty may enroll in university classes for professional development or personal enrichment. Enrollment in classes that conflict or interfere with the completion of faculty responsibilities should be avoided. Faculty will be expected to pay full tuition and fees for all course work taken for credit.

### **6.6.2 Attending Class**

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

## **6.7 Faculty Development Programs**

### **6.7.1 Faculty Professional Development Assignments**

(Formerly Faculty Improvement Leave)

Approved by the Faculty Senate on 3/16/90.

The university recognizes that significant opportunities for professional growth and development are required periodically by faculty members and that the Faculty Professional Development Assignments (FPDA) Program is one of the best modes to achieve such growth and development. The university strives to promote an environment in which the faculty will be motivated to participate enthusiastically in FPDA 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 FPDA Program.

### **6.7.1.1 Guidelines**

Guidelines for preparation, review and approval of applications are on the Provost's website at [http://www.provost.iastate.edu/faculty/advancement/development/fil\\_1.html](http://www.provost.iastate.edu/faculty/advancement/development/fil_1.html)

### **6.7.2 Big 12 Faculty Fellowship Program**

The Big 12 Faculty Fellowship Program offers faculty the opportunity to travel throughout the academic year to member institutions to exchange ideas and research. Guidelines for preparing and submitting proposals are available on the web at

<http://www.provost.iastate.edu/faculty/advancement/development/>.

### **6.7.3 Internship and Fellowship Programs**

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

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

#### **6.7.3.1 Selection Process.**

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

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

### **6.7.4 Study in a Second Discipline**

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

### **6.7.5 Instructional Development Grants**

The university provides support for projects to improve instruction. Grants are awarded annually on a competitive basis. Guidelines for preparing and submitting proposals are available on the web at <http://www.itc.iastate.edu/wsdocs/instrdev/IDGrants.html>.

### **6.7.6 Miller Faculty Fellowships**

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

### **6.7.7 International Faculty Exchange Opportunities**

The university maintains formal exchange agreements with universities around the world, and through such agreements, faculty are able to arrange for exchanges with these institutions. Interested faculty members should obtain a current list of institutions with which we hold agreements from the International Educational Services web site, <http://www.iastate.edu/~study-abroad/Partner/Partner.html>. To apply for an exchange, the faculty member must have his/her proposal approved by the Chair, Dean, and Provost. Funding of exchanges is negotiated with departments and colleges.

### **6.7.7.1 Criteria.**

The following are the criteria for evaluation of proposed exchanges:

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

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

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 chair(s) via the dean(s). This memo should accompany the initial application.

### **6.7.8 Foreign Travel Grant Program**

Financial support for university-related travel to foreign countries, in some instances, may be obtained through the Foreign Travel Grant Program. Because funds in this program are limited, grants are awarded on a competitive basis and for no more than 75 percent of the least expensive round trip air fare between Des Moines and the individual's destination or 75 percent of the lowest appropriate air fare between two destinations, whichever is less at the time the quote is obtained.

#### **6.7.8.1 Eligibility**

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

#### **6.7.8.2 Categories of Foreign Travel**

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

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

### **6.7.8.3 Application and Review**

Information and application forms are available from the Faculty Senate website: <http://www.facsen.iastate.edu/Foreigntravel/foreigntravel.htm>.

Applications are reviewed and grants are awarded three times a year by the Faculty Senate Committee on Recognition and Development.

Approved by the Faculty Senate on April 15, 2008, and by the president and provost on April 29, 2008.

### **6.7.9 Mentoring Program for New Faculty**

The Office of the Provost sponsors a mentoring program for new tenure-eligible faculty. The program focuses on helping an individual develop professionally through advice and consultation. Senior faculty designated as mentors accept special responsibilities for assisting new faculty members. The mentors receive professional development support from the Provost's Office. <http://www.provost.iastate.edu/faculty/advancement/development/>.

### **6.7.10 Overseas Study Group Leader and Initial Site Visit Grants**

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

### **6.7.11 Bailey Research Career Development Award**

The overall goal of this award is to foster research that is innovative and, not only increases knowledge, but has practical applications. It is expected that the Bailey award will allow faculty to devote time toward high-risk research addressing emerging scientific, technical and/or societal

problems resulting in practical applications and, in appropriate disciplines, extramural funding. Guidelines for applications are available from the Office of the Vice Provost for Research and Advanced Studies website: <http://vpresearch.iastate.edu/guidelines/bailey.html>.

# Faculty Handbook - 7. Faculty Conduct Policy

Changes to this section were approved by the Faculty Senate, November 14, 2006.

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## **7.1 Statement of Principles**

Section 7 was approved by the Faculty Senate on 5/01/01, by the University President on 1/31/02 and by the Board of Regents on 3/14/02.

### **7.1.1 Academic Freedom**

Academic freedom is the foundation of the university because it encourages and guarantees the right to inquiry, discourse, and learning that characterize a community of scholars. Iowa State University supports full freedom, within the law, of expressions in teaching, investigation in research, and dissemination of results through presentation, performance, and publication. No faculty member shall be judged on any basis not demonstrably related to professional performance. Iowa State University is dedicated to ensuring that faculty have the freedom to engage in teaching, research, extension, administration, and other professional activities and it considers a strong tenure system to be indispensable to the success of fulfilling its obligations. Iowa State University is committed to an uninhibited, robust, and unfettered pursuit of ideas. All members of the university community, faculty, staff, students, and administrators, are members of an ethical team whose goal is to create an environment in which no one hesitates to speak his or her mind for fear of reprisal. Iowa State University will take all appropriate actions to defend academic freedom, and to defend faculty who are accused or charged during the appropriate exercise of their duties.

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. As scholars and educational officers, faculty should remember that the public might judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint and should show respect for the opinions of others. When faculty members speak or write as individuals, they should be free from institutional censorship or discipline.

### **7.1.2 Professional Responsibilities**

Iowa State University recognizes that membership in the academic profession carries with it special responsibilities. Faculty members, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their discipline is to seek and to state the truth as they see it. To this end faculty members devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending,



and transmitting knowledge. They practice intellectual honesty. Faculty members do not allow subsidiary interests to compromise their freedom of inquiry.

As teachers, faculty members encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Faculty members demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Faculty members foster honest academic conduct and evaluate student work with respect to its true academic merit. They respect the special nature of the relationship between professor and student. They do not exploit, harass, or improperly discriminate against students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

As administrators and colleagues, faculty members have obligations that derive from common membership in the community of scholars. Faculty members do not exploit, harass, or improperly discriminate against colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others. They acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Faculty members accept their share of faculty responsibilities for the governance of their institution.

As members of an academic institution, faculty members seek to be effective teachers, scholars, and administrators. Faculty members maintain their rights to criticize and seek revision of university regulations and actions that they believe violate academic freedom. Faculty members give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, faculty members recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

As private individuals, faculty members have the same rights and obligations as others. Faculty members measure the urgency of these obligations in the light of their responsibilities to their discipline, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As individuals engaged in a profession that depends upon freedom for its health and integrity, faculty members promote conditions of free inquiry and further public understanding of academic freedom.

## **7.2 Faculty Misconduct**

Every faculty member of the University recognizes that certain types of behavior constitute misconduct. Such behavior compromises the integrity of the University and the trust placed upon its members. The University will take any actions necessary to prevent misconduct and discipline those it finds responsible. Generally, adequate cause for sanction of a faculty member includes but is not limited to:

- Professional dishonesty in teaching, research, extension, or administrative activity;
- Demonstrated incompetence;

- Substantial and manifest neglect of duty; or
- Serious misconduct prohibited by law, Board of Regents policies, or official university policies.

In addition, the Board of Regents reserves the power to sanction a member of the faculty 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.

## **7.2.1 Interpretation of Misconduct Rules**

### **7.2.1.1 Protection of Academic Freedom.**

To ensure protection of academic freedom, this faculty conduct policy shall not be interpreted to permit discipline of faculty for immaterial violations of policy. Faculty should be disciplined only for practices that affect an important interest of the University.

### **7.2.1.2 Scholarly Discourse and Germaneness.**

When faculty are engaged in scholarly discourse they may not be disciplined for discussion or presentation of material, ideas and topics that are germane to the scholarly subject matter. Scholarly discourse includes the investigation, discussion and presentation of scholarly subject matter, including the presentation of material in the classroom. In order to be germane, the material presented must be relevant to the scholarly subject matter, and must be presented by appropriate means.

Faculty must remember that students are constrained in their freedom of choice of classes and in continuation in classes. Teaching methods that target individual students in an unfair way so as to prevent them from full participation in a course will not be regarded as appropriate. Comments related to sex, gender, race or ethnicity that are persistent, demeaning and unnecessary are not germane. Failure to adhere to the policy on the use of Explicit Materials will be considered in making a determination of whether the material is germane. ([10.5.1 Explicit Materials](#))

### **7.2.1.3 Severity of Violations.**

Disciplinary action will be appropriate to the severity of the underlying misconduct. Generally, violations considered more severe include but are not limited to:

- Violence or threats of violence;
- Acts intended to result in improper personal gain of the faculty member and loss to others;
- Intentional or knowing violation of laws or rules known to the faculty member;
- Acts the faculty member could anticipate will be seriously prejudicial to others;
- Acts that result in substantial interference with the learning of students, the work of colleagues and staff or the receipt of benefits intended for the public; or

- Repeated acts of a similar nature.

## **7.2.2 Types of Misconduct**

The following sections describe general categories of misbehavior. The fact that a particular behavior is not specifically mentioned does not mean that faculty cannot be sanctioned if the behavior falls within the general definition of adequate cause indicated above.

### **7.2.2.1 Conflicts of Interest.**

Conflicts of interest include conflicts arising out of personal relationships, family relationships, and those arising out of activities outside of work.

#### **7.2.2.1.1 Consenting Relationships.**

Consenting relationships that are of concern to Iowa State University are those intimate relationships to which both parties have consented, but where a reporting or evaluative relationship exists between the parties. When a relationship between a faculty member and a student is not confined to that of intellectual guide and academic counselor, it is the responsibility of the faculty member to take appropriate actions to avoid any conflict or apparent conflict of interest between the personal and academic concerns. Likewise, when such a relationship exists between faculty members or when it involves their role as supervisor, it is the responsibility of each faculty member to take appropriate actions to avoid any conflict or apparent conflict of interest.

Because of the reporting and evaluative nature of the relationship and the uneven power inherent in such a relationship, such relationships may become exploitative. Further, other individuals in proximity to the consenting relationship may suffer as a result of the reporting or evaluative aspects of the consenting relationship. Although consenting relationships may be viewed as private, real or perceived preferential treatment at the expense of others is in violation of an environment that seeks to foster a community for learning and scholarship. Because of these reporting and evaluation relationships and the uneven power inherent in such relationships, it will be very difficult to avoid subsequent charges of sexual harassment.

A faculty member must not participate in the supervision, instruction, or evaluation of a student, staff member, or colleague with whom a romantic or sexual relationship exists or has existed. The faculty member must take appropriate actions to end the supervisory, instructional, or reporting relationship, thereby removing the possibility of a conflict of interest. Failure to do so shall be viewed as misconduct.

#### **7.2.2.1.2 Family Relationships - 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 as follows:

parent, child, brother, sister, first cousin, uncle, aunt, nephew, niece, spouse, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, step-parent, step-child. This restriction applies to all employees except those persons receiving a compensation of less than \$600 per year.

Faculty may not vote or formally participate in decisions to appoint, set salary, tenure, promote, or determine working conditions when the candidate is their spouse, domestic partner, or child. Nor are they permitted to supervise the academic work of their spouses, domestic partners, or children unless specific permission has been granted by the department chair, and a plan for oversight has been instituted to assure objective evaluation of the work. Generally, someone other than the faculty member should evaluate the work of such family members.

### **7.2.2.1.3 Outside Activities.**

Faculty of Iowa State University are subject to conflict of interest laws of Chapter 68B of the Code of Iowa, as well as the University's policies on conflict of interest. Faculty and close family members may not sell goods or services to the University unless in conformity with Regents Policy. ([8.3.7 Purchases of Goods or Services from Employees](#)) Iowa law also forbids the acceptance of gifts from persons in circumstances, which may indicate improper influence. See University Policy Manual, <http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap2.htm#2.5.6>

Iowa State University Policy requires prior approval of certain outside activities ([8.3.5 Consulting](#) and [7.2.2.1 Conflicts of Interest](#)).

### **7.2.2.2 Discrimination and Harassment.**

Changes to this section were approved by the Faculty Senate, November 14, 2006.

The obligation of the University is to provide an environment that enables all members of the community to pursue work and study free of discrimination and harassment. Especially important is to prevent and address discrimination and harassment based upon race, ethnicity, sex, pregnancy, color, religion, national origin, physical or mental disability, age (40 and over), marital status, sexual orientation, gender identity, status as a US veteran (disabled, Vietnam, or other), or other protected classes, as described in the Iowa State University non-discrimination policy. At the same time the university is committed to preserving an environment of free debate and discussion. Harassment in any form does not occur unless the behavior or speech is severe, persistent or pervasive. In the context of scholarly discourse harassment does not occur unless the expressive activity is not germane to the subject matter.

#### **7.2.2.2.1 Discrimination.**

Consistent with the University's policy against discrimination, faculty may not engage in discriminatory conduct, as prohibited by the University's Discrimination and Harassment policy <http://policy.iastate.edu/policy/discrimination/>.

### **7.2.2.2.2 Harassing Behavior.**

Criticism and actions taken in or as a result of disagreement can be misunderstood and can result in harassment when:

- Verbal, written or physical conduct attempts to improperly influence another's academic or personal decisions with the direct or indirect threat of negative consequences if compliance does not occur;
- Verbal, written, or physical conduct is directed against another and is reasonably regarded as either abusive, intimidating, or humiliating, and substantially impairs the academic or work environment of the person against whom it is directed; or
- Verbal, written, or physical conduct intentionally encourages others, acting singly or in a group, to harass others.

### **7.2.2.2.3 Harassment.**

The policy of Iowa State University is that no member of the academic community may engage in harassment as prohibited by the University's Discrimination and Harassment policy <http://policy.iastate.edu/policy/discrimination/>.

### **7.2.2.3 Academic Misconduct.**

The faculty bear the primary responsibility to the academic community, to the institution, and to each other for maintaining high standards of academic integrity in teaching, research, extension, administration, and scholarly activity. The faculty are responsible for upholding academic integrity in their pursuits and instilling academic integrity in others. By virtue of their leadership positions in the university, faculty have a special obligation to maintain a climate of academic integrity. It is important to recognize that academic misconduct cannot be excused or wrongly protected under the guise of academic freedom.

Academic misconduct includes falsification or fabrication of data, plagiarism or other practices that seriously deviate from those commonly accepted in the academic community for teaching, conducting research, administration, professional practice or service. Academic misconduct involves deception. Making the distinctions between misconduct and honest error or differences of opinion or judgment are intrinsic parts of the special responsibilities of the faculty.

Academic misconduct consists of any of the following:

- Falsification of data, which ranges from fabrication to deceptively selective reporting, including the purposeful omission of conflicting data with the intent to falsify results;
- Plagiarism, the representation of another's work as one's own
- Failure to follow required protocols in conducting research such as adhering to procedures for the protection of human subjects of research;
- Falsification of one's credentials
- Retaliation against persons who file claims of academic misconduct; or

- Falsification or intentional misrepresentations of truth in teaching.

### **7.2.2.4 Criminal Acts or Violence.**

As members of the community, faculty are subject to state and federal laws. Criminal acts involving moral turpitude, acts which violate laws specifically applicable to state employees, or acts of violence or threats of violence against persons or property are considered misconduct and make the perpetrator liable to sanction. This policy is intended to provide a sanction only for those crimes that affect the fitness of the faculty member.

### **7.2.2.5 Violation of Other University Principles and Policies.**

Violation of other University principles or policies may result in disciplinary action.

#### **7.2.2.5.1 Abandonment of Position.**

Faculty members who substantially fail to perform any duties and who do not respond to inquiries regarding their status have abandoned their positions. In cases of abandonment, salary may be suspended by the Provost upon recommendation of a Faculty Review Board if the faculty member fails to respond to a charge of abandonment.

#### **7.2.2.5.2 Assisting Others in Violating University Rules.**

As exemplars for others on the campus, faculty may not assist others in material violations of university rules. This applies though the specific rule may not apply to faculty. For example, a faculty member should not assist a student in violation of the University Disciplinary Regulations applicable to students.

#### **7.2.2.5.3 Breach of the Computing Code of Ethics.**

Computational equipment has become a valuable tool for carrying out the mission of the institution. Faculty are expected to adhere to the university's Computing Code of Ethics. In particular, faculty shall not access data of others without authorization, nor take action intended to damage or interfere with computer equipment, software, databases and networks.

#### **7.2.2.5.4 Breach of Confidentiality.**

Faculty are entrusted with confidential information on students, colleagues, clients and research subjects. Unauthorized disclosure of personal information subject to restrictions on dissemination is a form of misconduct. With respect to information on students, faculty are expected to adhere to standards set by the Family Educational Rights and Privacy Act (FERPA). For more information about FERPA, contact the Office of the Registrar.

### **7.2.2.5.5 Breach of a Mediation Agreement.**

Faculty members are expected to adhere to their commitments made as the outcome of a mediated agreement under the mediated procedure indicated below. Failure to do so may be determined to be misconduct.

### **7.2.2.5.6 Breach of Professional Ethics.**

Faculty often are members of a profession based upon the subject of their expertise. Faculty are expected to uphold the standards applied to the practice of their profession. For example, a professional counselor, whether of law, of psychology or other therapy is expected to adhere to the applicable ethical rules; a veterinarian is expected to adhere to the ethical rules applicable to veterinarians. Failure to do so may result in disciplinary action.

### **7.2.2.5.7 Deception.**

Intentionally providing false information, orally or in writing, to others with the understanding that they may rely upon such information, is damaging to the trust placed in faculty. Alteration of documents used for official purposes is both a violation of law and is misconduct.

### **7.2.2.5.8 Discrimination.**

Consistent with the University's policy against discrimination, faculty may not engage in discriminatory conduct against members of the protected classes as defined in Section 7.2.2.2., unless the conduct is consistent with university programs involving bona fide occupational qualifications, business necessity, actions designed to eliminate workforce under-utilization, and/or where this policy conflicts with federal and state laws, rules, regulations, or orders.

### **7.2.2.5.9 Interference with Disciplinary Procedures.**

Faculty members may not intentionally interfere with disciplinary processes including the following acts:

- Destroying or concealing evidence;
- Providing false or misleading information;
- Intimidation of witnesses; or
- Promising rewards to witnesses for favorable testimony.

This section does not require a faculty member to testify against him- or herself under circumstances where the faculty member may incriminate him- or herself by testifying.

### **7.2.2.5.10 Misuse of Funds, Equipment and Facilities.**

The use of funds, equipment or facilities provided for a specific purpose for other than that purpose is a form of misconduct. Iowa law forbids the use of funds, equipment or facilities for personal gain or benefit, or for private gain or benefit without following procedures for approval and reimbursement.

### **7.2.2.5.11 Misuse of Others' Intellectual Property.**

Faculty have the obligation to respect the works of their colleagues and students. Use of others' unpublished work, even with attribution, is not acceptable unless it is clear that the author or owner claims no exclusivity in the work, or appropriate authorization has been granted. Faculty members are expected to comply with fair use rules in using copyrighted works of others.

### **7.2.2.5.12 Other Policies.**

Faculty must comply with all university policies, including but not limited to:

- Drug and Alcohol Free Workplace. ([8.4.3 Drug Free Workplace](#))
- Occupational Safety Policy. ([8.4.4 Occupational Safety Policy](#))
- The Board of Regents, Uniform Rules of Conduct, Policy Library, <http://policy.iastate.edu/>, Uniform Rules of Personal Conduct (Iowa Administrative Code 681-9.1)(262) (2001),

## **7.2.3 Addressing Claims of Misconduct**

Conflicts or concerns that arise during the day-to-day functioning of the university are usually addressed through administrative channels. This involves bringing the concern to the attention of the appropriate administrator charged with responsibility for that academic unit (Chair, Dean, or Provost). An individual with a concern that a faculty member may be guilty of misconduct may bring the concern forward through these same regular administrative channels. The administrator is responsible for assessing the situation and, where appropriate, taking administrative actions to resolve concerns. If the complaint involves discrimination or harassment prohibited by the University's Discrimination and Harassment Policy, the administrator must notify the Office of Equal Opportunity and Diversity upon the receipt and resolution of the complaint to ensure responsiveness and consistent enforcement. The administrator may recommend the use of the complaint processes described below.

An individual with a concern that misconduct has occurred may also initiate a complaint through either the Voluntary Mediated Process (see 7.2.4) or the Formal Process (see 7.2.5.) delineated in this document, or informally through the Ombuds Office. The Voluntary Mediated Process is used to consider and resolve the issue through mediated discussion with the involved parties. The Formal Process begins with the presentation of a written complaint and involves peer review.

The procedures described below are designed to assess and resolve the conduct issues identified in this policy and are not intended to address grievances ([9. Faculty Grievance Procedures](#)).



## **7.2.4 Voluntary Mediated Process**

### **7.2.4.1 Initiating the Process.**

The individual wishing to bring a complaint of misconduct to mediated resolution may do so by contacting the Office of the Provost in writing. Mediators are individuals designated for their skill and training in mediation and for their knowledge of the policies of the university. The goal of mediation is for an impartial party to work with the individuals to resolve a charge of misconduct outside of a hearing process. Successful mediation results in a written agreement among the parties. As discussed below in Section 7.2.5.1.3, the Provost may also initiate the mediation process in certain cases.

### **7.2.4.2 Complaint Review and Processing.**

As part of the process, the mediator will discuss the procedural options with the complainant and the respondent. To enter into the voluntary mediated process, both the respondent and complainant must agree to follow the process outlined by the mediator. The mediator will arrange for a discussion of the issues and assist in developing a written plan to which the parties will agree. Mediators will consult with the appropriate administrators in the development of the agreement to receive advice on the impact of the resolution on the operations of the department or unit.

### **7.2.4.3 Resolution of Complaints.**

The written agreement will be provided to the parties, to the administrators responsible for overseeing the agreement, and the Provost. Chairs and Deans will keep such agreements in sealed files in a secure location separate from official personnel files. The documents and notes of the mediation process will be organized following good practice in mediation and will be retained for five years in the Provost's confidential files. They shall only be opened if the parties agree, or if there is an urgent need for access. Mediators may not be called on as witnesses, and notes and records of these proceedings (except for the agreement) may not be used as evidence in a grievance or a formal hearing except as provided by law.

If mediation is not successful a complaint may be filed through the formal complaint process.

## **7.2.5 Formal Complaint Process**

The formal complaint process is based upon peer review and respect for due process. It is an academic and not a judicial process. The goal is to determine the truth and to recommend and apply remedies and sanctions in keeping with the freedoms and responsibilities of the academic environment.

### **7.2.5.1 Filing Formal Complaints.**

To initiate the formal complaint procedure, the complainant will file a written complaint with the appropriate administrative officer as indicated below. Multiple complaints arising out of the same conduct, or a pattern of conduct, may be consolidated into a single complaint.

### **7.2.5.1.1 Content of Formal Complaints.**

The complaint should include:

- The name, address, and telephone number of the complainant;
- The name and office of the individual(s) alleged to have engaged in misconduct;
- A short, plain statement of the alleged misconduct;
- The approximate date(s) on which the act(s) allegedly occurred;
- Persons known to have information relevant to the complaint;
- A statement of any provision of law, rule or policy believed to have been violated;
- Any other information which will assist in the investigation and resolution of the complaint; and
- The signature of the complainant.

Complaints may also indicate what action might be taken to address the alleged misconduct. Complainants are expected to cooperate by providing relevant information relating to the complaint if requested. Failure to cooperate may result in dismissal of the complaint.

### **7.2.5.1.2 Offices Where Formal Complaints May be Filed.**

The following offices are designated to receive complaints against a member of the faculty:

- Any complaint of misconduct may be filed with the Office of the Provost; and
- Discrimination complaints, including those involving sexual, racial, ethnic or other harassment may be filed with the Office of Equal Opportunity and Diversity. The Office of Equal Opportunity and Diversity will inform the Provost of discrimination complaints against a faculty member within one day.

### **7.2.5.1.3 Initial Steps by Provost.**

Upon receipt of a complaint, the Provost and the President of the Faculty Senate will immediately evaluate the complaint to determine whether the complaint is properly filed under this chapter. If they conclude the case is a grievance they will refer the case to the Faculty Senate Council on Judiciary and Appeals.

If a complaint is determined to be properly filed under this chapter, the Provost will immediately evaluate, in consultation with the respondent's Chair, and in appropriate cases, the Equal Opportunity and Diversity Officer (for discrimination complaints) or the Officer For Research Integrity (ORI) (for research misconduct cases) whether interim action should be taken in accordance with the following section on interim action.

The Provost will notify the complainant, the respondent and the respondent's Chair of the complaint, of any interim action taken, and will remind the respondent of his/her obligation not to take retaliatory action against the complainant or others involved with the complaint.

After evaluating a formal complaint and prior to calling for the formation of a Faculty Review Board, the Provost may direct the parties to participate in mediation, recognizing that not all cases will be appropriate for mediation. If the Provost calls for mediation, the timelines in this chapter shall be suspended pending the outcome of mediation.

### **7.2.5.1.4 Interim Action.**

There may be instances in which the Provost needs to take interim action pending investigation of the case. The Provost may take interim action if any of the following conditions exist:

- There is immediate physical danger to persons or property;
- There is reasonable indication of serious criminal violation;
- There is an immediate health hazard;
- There is immediate need to protect equipment or funds, including federal funds or federal financial assistance;
- There is immediate need to protect the safety or interests of the person(s) making the allegations, of witnesses or of the subject(s) of the allegations or his/her collaborators and associates; or
- There is a need to assure evidence is preserved or to prevent improper influence of witness testimony.
- There is a need to protect the working or educational environment of affected co-workers or students.
- There is a need to protect against liability of the University or its employees.

Interim action taken must be appropriate to the interests protected, and reasonably limited so as not to have an undue damaging effect on the faculty member. It is not in and of itself a sanction. Interim action may include:

- Restrictions on contact with persons;
- Limitation on access to certain areas of the campus;
- Reassignment of duties;
- Partial or total administrative leave with pay;
- Direction on conduct of activities; or
- Restrictions on university travel.

In cases where there is a reasonable indication of criminal violation related to academic misconduct allegations involving federal funding, the Provost will notify ORI for consideration of reporting to the relevant agency.

Except in cases of emergency, the Provost shall make a good faith effort to implement interim action through discussion with the faculty member prior to taking interim action. If an agreement is not reached, the Provost may impose interim action. If a faculty review board has not been

appointed, the faculty member against whom interim action has been taken may request a review by the Provost. As indicated below, the Faculty Review Board will review all interim action.

The Provost will assist the Chair and the Dean in ensuring that the interim action will have as little disruption of the teaching, research, or outreach activities of the department as possible. The Chair and/or Dean will not limit a faculty member's electronic access to university computer systems or email as part of interim action without the express approval of the Provost.

## **7.2.5.2 Complaint Review and Resolution**

### **7.2.5.2.1 Faculty Review Board.**

The Provost will call for the formation of a Faculty Review Board. If the Provost does not direct the parties to mediate the complaint, the Provost will take such action within two days after consulting with the Faculty Senate President. If the Provost receives notice that mediation was unsuccessful, the Provost will take such action within two days after receiving such notification. The Faculty Review Board will consist of three members nominated from the faculty pool by the President of the Faculty Senate and confirmed by the Provost. The Faculty Senate President will review the complaint as filed and any additional pertinent information provided by the Provost before making the nominations. The President of the Faculty Senate and the Provost will seek an objective Board with sufficient depth of expertise and experience to understand the issues in the case. The members should not have any real or apparent conflict of interest in the case. At least two of the three members must be of an equal or greater rank than that of the respondent. In the unusual circumstance that appropriate membership is not available from the faculty pool, the President of the Faculty Senate will nominate additional members from the tenured faculty for confirmation by the Provost. The complainant and the respondent have the right to challenge the nominees to the Faculty Review Board. Challenges must be made in writing in no more than two days following the naming of the nominees. The President of the Faculty Senate and the Provost will determine the standing of the challenges. If nominees are successfully challenged the President of the Faculty Senate will submit additional nominees until three members are confirmed. The Faculty Senate President and the Provost will jointly name the chair of the Faculty Review Board.

The Faculty Review Board will assess any interim action taken by the Provost and will confer on whether this action should continue and/or whether any further or additional action is needed. The Faculty Review Board may make recommendations to the Provost regarding interim action.

The Faculty Review Board and the Provost will decide on the nature and scope of the investigation and on the individual(s) who will carry out the investigation. The Faculty Review Board may investigate the complaint itself or will work in conjunction with the investigator, appointed through the Provost and approved by the Faculty Review Board. When the faculty member has been charged with abandonment of position and has not responded to the charge the Faculty Review Board may recommend to the Provost the suspension of salary for the duration of the proceedings.

An investigation report will be prepared by the party conducting the investigation within 30 days of the first meeting of the Faculty Review Board. If the Faculty Review Board is working with an investigator, the investigator shall submit the investigation report to the Chair of the Faculty Review Board. Extensions of this 30-day period may be granted only for a fixed period and only for specific reasons. The party conducting the investigation may submit a request for an extension of this 30 day period to the chair of the Faculty Review Board who will transmit the request along with his/her recommendation to the Provost and the President of the Faculty Senate, who will jointly decide whether the extension should be granted. If the Faculty Review Board is conducting its own investigation, the Chair shall submit the request for extension to the Provost and the President of the Faculty Senate. If an extension is granted the chair of the Faculty Review Board will inform all relevant parties. All subsequent timelines and deadlines will necessarily be extended by the granting of this or any extension.

The Provost and ORI will be promptly advised of any development which discloses facts that may affect current or potential federal funding or otherwise affects the public interest.

### **7.2.5.2.2 Review and Hearing by the Faculty Review Board.**

Once the Faculty Review Board has reviewed and is satisfied with the investigative report, the Faculty Review Board will submit the report to the Provost, the complainant, and the respondent for comments. All parties will have a period of seven days to provide a response to the Faculty Review Board. The Faculty Review Board shall review the responses from the parties and consider whether changes to the investigative report are necessary. If changes are made to the investigative report, the Faculty Review Board will not seek additional comments or responses from the parties unless it is warranted under the circumstances. After the receipt of responses from all parties, or after seven days, the Faculty Review Board will meet and will take one of three actions based on a simple majority vote: to dismiss the charges and hold no hearing, to hold a minor sanction hearing, or to recommend that the complaint be referred to a Major Sanction Committee. If the Faculty Review Board decides to dismiss the charges without a hearing, it will summarize its reasons as a part of its report to the Provost; the decision against a hearing is only possible if the Faculty Review Board finds no violation of the Faculty Conduct Policy by the respondent. If the Faculty Review Board decides to hold a minor sanction hearing they will inform all relevant parties and schedule the hearing. If the Faculty Review Board decides to recommend that the complaint be referred to a Major Sanction Committee, they will submit this recommendation to the Provost along with their reasons for making the recommendation. If the Faculty Review Board recommends that any portion of the complaint warrants review by a Major Sanction Committee, the entire complaint shall be heard through that process. If at any time the Faculty Review Board concludes there is need for further interim action, they shall make a recommendation to the Provost. If the Provost disagrees, they may make a recommendation to the President.

In conducting a minor sanction hearing the Faculty Review Board will respect the due process rights of the respondent, undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations of misconduct, and will afford all individuals confidential treatment to the extent possible in the inquiry.

Minor sanction hearings will be closed to the public. During the hearing, the Faculty Review Board may receive additional evidence from the respondent or the complainant, will hear rebuttals of evidence presented by either party, may call and question witnesses on its own behalf. During the hearing all questions, comments, or statements will be addressed to the Faculty Review Board. The Faculty Review Board may, in its discretion, allow alternate forms of witness testimony. The respondent may choose to waive his/her right to a formal hearing and allow a written statement to constitute the defense. The respondent and the complainant may have the advice of counsel, but counsel may not speak for them during the hearing. In all cases the charges shall be established by the preponderance of the evidence. Deliberation on the charge will be based only on the evidence relevant to the charge. The Faculty Review Board shall determine the relevance of all evidence. If evidence of additional instances of misconduct is presented, whether related or unrelated to the original charge, the Faculty Review Board shall consult with the Provost on the question of whether this additional misconduct shall be included in the current case or whether a separate complaint shall be made. In such cases, the Provost shall have the authority to approve additional charges and to reasonably extend deadlines if necessary to investigate the additional charges.

Following the hearing, the Faculty Review Board will prepare a report containing a full description of the allegations, the evidence reviewed, a summary of testimony, and conclusions that have been reached. The report of the Faculty Review Board will include a recommendation about the disposition of the case. The Faculty Review Board has three options:

- If they decide that the evidence is not credible or does not sufficiently support the charge they may recommend that the case be dismissed.
- If they decide that the evidence is credible and that it supports the case, they may recommend that the Provost impose a minor sanction or that nondisciplinary corrective action be taken. The Faculty Review Board shall recommend the minor sanction to be imposed.
- If they decide that the evidence is credible and that there is a clear and compelling case to warrant a major sanction, they may recommend that the Provost refer the complaint to a Major Sanction Committee.

In their report the Faculty Review Board will articulate their reasons for making their recommendation. The Faculty Review Board may also make a recommendation about interim action during the remainder of the process. The Faculty Review Board report will be sent to the respondent and the complainant, who will have ten days to respond. After receipt of the responses, or after ten days, the Faculty Review Board will submit their report and any responses to the Provost. The respondent and the complainant will receive copies. The Chair and Dean will be notified that the report has been submitted.

The Faculty Review Board will issue their report within 60 days of the first meeting of the FRB. Faculty Review Board may ask for and receive an extension beyond 60 days. A request for an extension must include documented reasons for the extension. An extension will be granted only with the concurrence of both the Provost and the President of the Faculty Senate.

### **7.2.5.2.3 Response of the Provost.**

The Provost will have 15 days to respond to the Faculty Review Board report. The Provost will review the results of the previous investigation and the recommendation from the Faculty Review Board and will decide whether to accept that recommendation. If the Provost disagrees with the recommendation of the Faculty Review Board, the Provost must meet with the Faculty Review Board to discuss the reasons for the disagreement before taking any action. If the Provost is issuing the final decision in a minor sanction case, the Provost's report will describe what sanction is to be imposed, or the nature of any nondisciplinary corrective action to be taken.

The Provost will communicate to the chair of the Faculty Review Board, the respondent, and the complainant a final report containing his or her decision, and the reasons underlying that decision. No public statement about the hearing or about the Faculty Review Board's recommendation will be disseminated. Public announcement of the findings and recommendations will be made at the discretion of the Provost.

The Provost will inform the Chair and Dean of the disposition of the case. When appropriate, the Provost will submit a report to the ORI describing the policies and procedures under which the investigation was conducted, the information obtained relevant to the investigation, the findings and the basis for the findings. The Provost will undertake reasonable measures to prevent retaliation against individuals who filed the complaint or who assisted in or participated in the misconduct process.

All proceedings will be confidential to preserve the integrity of the investigation and those involved. If the complaint is dismissed the Provost will undertake all necessary measures to restore the reputation(s) of the person(s) alleged to have engaged in misconduct immediately after the issuing of the final report.

### **7.2.5.3 Major Sanction Process.**

If the Provost accepts the recommendation of the complaint to a Major Sanction Committee, the entire complaint shall be heard through this process. The Major Sanction Process shall begin when the Provost files a Statement of Charges with the Office of the President, with a copy to the Respondent and the Respondent's Chair and Dean.

The Major Sanction Process involves a new peer review committee, described below. The complaint will be pursued and presented by the Provost or designee. The Major Sanction Process is administered by the Office of the President.

At the same time the Provost files the Statement of Charges, the Provost will also notify the respondent of the right to have the matter reviewed by an administrative law judge under the Iowa Administrative Procedure Act (an "APA hearing"). The respondent will have five days to make a choice of procedures. If the faculty member elects an APA Hearing, the provisions of Iowa Code Chapter 17A and Iowa Administrative Code Chapter 681-20 will apply instead of the *Faculty Handbook*, otherwise the hearing will be held before a Major Sanction Committee as provided by this policy.

### **7.2.5.3.1 Appointment of Major Sanction Committee.**

If the Respondent elects to have the complaint heard by a major sanction committee, or after five days of notifying the respondent of the choice of procedures without response, the Provost will call for the formation of a Major Sanction Committee to review the complaint. The Office of the President shall promptly impanel the Major Sanction Committee of seven members. The Committee is chosen from the faculty pool provided by the Faculty Senate President and confirmed by the President of the University. Members of the Major Sanction Committee should have no real or apparent conflict of interest with the respondent. The Provost and the respondent faculty member each have the option of one preemptory challenge from the list so committee membership may vary from five to seven members. Challenges must be made within five days after receipt of the list. No member of the Major Sanction Committee shall be chosen from the Faculty Review Board that previously reviewed the complaint. More than half of the members of the Major Sanction Committee shall be of equal or greater rank to respondent and, except in unusual circumstances, no member of the respondent's department shall serve on this committee. The President of the Faculty Senate and the President of the University shall jointly appoint the chair of the Major Sanction Committee.

The President will provide the Major Sanction Committee with a statement of the charges. The Major Sanction Committee will review any interim action that has been taken and will consult as needed with the parties on whether this action should continue and/or whether any further or additional action is needed. If at any time the Major Sanction Committee concludes there is need for additional interim action, the committee shall make a recommendation to the President.

The Provost will inform the Chair and Dean of the respondent faculty member that a major sanction complaint has been made against that faculty member and of any interim action that is being taken. The Provost will assist the Chair and Dean in ensuring that there will be as little disruption of the teaching, research, or outreach activities of the department as possible.

The respondent shall be given a period of 20 days from the date of issuance of the charges in which to complete a response to the charges. The faculty member may request additional time from the Major Sanction Committee for this response. The faculty member may choose to waive the right to a formal hearing and allow a written statement to constitute his/her defense

### **7.2.5.3.2 Major Sanction Committee Review and Hearing.**

The Major Sanction Committee will review the charge against the faculty member, the results of the investigation of this charge, the report of the Faculty Review Board, and the response of the respondent within 20 days after receiving the faculty member's response. The Major Sanction Committee may request additional written comments from any party, or may request additional investigation. If this requires additional time the Major Sanction Committee may extend their review for an additional 40 days, and will notify all parties of any extension and of the reasons for this extension. Extensions will be made only for a fixed period and only for specific reasons. After completion of its review the entire Major Sanction Committee shall hold a hearing. If the



respondent waives his or her right to a formal hearing, the committee shall determine an appropriate recommendation on the basis of available information.

The Major Sanction Committee shall apprise the President and when appropriate the ORI, of any developments which disclose facts that may affect current or potential federal funding for individual(s) under investigation or that the relevant federal agency needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

### **7.2.5.3.3 Procedures Applicable to the Hearing.**

The Major Sanction Committee shall determine the procedures applicable to the hearing. The following discussion of procedures is a general guide, but the Major Sanction Committee shall have the right to amend them with the consent of both parties.

- Rules of Evidence. Formal rules of evidence applicable to court proceedings shall not apply. The Major Sanction Committee may give evidence different weight based upon its relevance and probative value. The Major Sanction Committee may determine that it will not consider evidence that it determines is irrelevant. The Committee shall respect legally recognized privilege such as that between attorney and client or physician and patient unless the person who has the right to assert the privilege waives the privilege.
- Closure of Hearings. The Hearing shall be closed.
- Communications to Major Sanction Committee. To assure the proceedings appear and in fact are fair, the parties are expected to communicate with the Major Sanction Committee and the Chair of the Major Sanction Committee in writing, with a copy to the other party, or in a manner in which the other party is able to participate.
- Exclusion of Witnesses. The Major Sanction Committee will not permit witnesses, other than the parties to be present during the questioning of other witnesses.
- Burden of Proof. Each allegation must be established by a preponderance of the evidence. The Major Sanction Committee shall base its decision upon the evidence presented to it during the proceedings.
- Presence of Advisors. The parties may have an attorney or other person present to advise them. A person who is the victim of the conduct of the respondent shall also have a right to the presence of an attorney or other person to advise them or to provide support. Attorneys, advisors, and supporters may not present any part of the case for the parties without the consent of the Major Sanction Committee.
- Right of Respondent to Attend. The respondent faculty member shall have a right to attend the hearing, the presentation of witnesses and opening and closing statements. With the consent of the Major Sanction Committee testimony of witnesses may be presented by alternate means. In the case of video or telephonic testimony, the parties shall both have a similar opportunity to view or hear the testimony.
- Record. The hearing will be recorded electronically or by use of a court reporter.
- Before the Hearing. The parties or the Major Sanction Committee may arrange for the exchange of lists of witnesses to be presented and documents to be presented. The Major Sanction Committee may set up a pre-hearing conference to assist in presentation of the case.

- Order of Presentation at the Hearing. Unless otherwise directed by the Major Sanction Committee, the order of presentation of the case shall be:
  - Preliminary Matters, including comments by the Major Sanction Committee, discussion of order of witnesses, and exchange of documents (if not completed before the hearing);
  - Opening statement of the Provost's representative
  - Opening statement of the respondent
  - Witnesses and evidence of the Provost's representative
  - Witnesses and evidence of the respondent
  - Rebuttal witnesses and other evidence of the Provost's representative
  - Rebuttal witnesses and other evidence of the respondent
  - Closing statement of the Provost's representative
  - Closing statement of the respondent.
- After the Hearing. With the approval of the Major Sanction Committee, the parties may present written summaries. The Major Sanction Committee shall set the time for submission, no later than 10 days after closing of the hearing. 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.

If the parties reach a resolution of the charges after the hearing has begun, the parties must present the proposed resolution in writing to the Major Sanction Committee, which shall review the proposed resolution within five working days and forward its recommendation to the President.

### **7.2.5.3.4 Report of the Major Sanction Committee.**

The report of the Major Sanction Committee will include a recommendation about the disposition of the case, including the recommended sanction if applicable. The Major Sanction Committee has three options, decided by simple majority vote:

- If they decide that the evidence is not credible, or does not sufficiently support the charge, they may recommend that the case be dismissed.
- If they decide that the evidence is credible and that it supports the case, they may recommend that the President impose a minor sanction or that nondisciplinary corrective action be taken.
- If they decide that the evidence is credible and that it supports the case, they may recommend that the President impose a major sanction.

The Major Sanction committee report will contain a description of the findings of fact and recommendations, together with a transcript of the record if requested. The report will be sent to the respondent and the complainant, who will have ten days to respond to the report. After receipt of the responses, or after ten days, the Major Sanction Committee will submit their report to the President with any responses attached. The complainant and the respondent will receive copies of any responses. The Major Sanction Committee will notify the Chair and Dean that the report has been submitted. The President must meet with the committee to discuss the recommendation.

Should the entire investigation, deliberation, and major sanction hearing process not be completed within 120 days of the Major Sanction Committee receiving the complaint, a request for extension must be filed with the President. The President will notify the ORI of any extension. The request will include an explanation for the delay, an interim report on the progress to date, an outline of what remains to be done, and an estimated date of completion.

### **7.2.5.3.5 Response of the President.**

The President will have 15 days to respond to the Major Sanction Committee report. The President will present to the chair of the Major Sanction Committee, the Provost, the respondent, and where appropriate the ORI, a final report containing his or her decision, describing the action to be taken, and giving the reasons underlying the decision. The President will inform the Dean, and the Chair of the respondent of the action being taken. If the faculty appointment is terminated the President shall set the date of termination. The President will undertake all necessary measures to prevent retaliation against individuals who filed the complaint or who assisted in or participated in the misconduct process.

All proceedings will be confidential to preserve the integrity of the investigation and those involved. No public statement about the hearing or about the Major Sanction Committee's recommendation will be disseminated. Public announcement of the findings and recommendations will be made at the discretion of the President. If the complaint is dismissed the President will undertake all necessary measures to restore the reputation(s) of the person(s) alleged to have engaged in misconduct immediately after the issuing of the final report.

### **7.2.5.4 Records.**

In all cases of formal complaints, the Provost's office shall maintain detailed documentation of the case for a minimum of three years. The record shall include the complaint, the report of the investigation, the Faculty Review Board report, the Provost's response, the Major Sanction Committee report, the response of the respondent and the complainant, the Provost's response to the report, and the President's report. At the close of a case, members of the Faculty Review Board and, if applicable, the Major Sanction Committee, shall turn their records over to the Provost. Access to the records will be provided to authorized personnel on request.

## **7.2.6 Processes for Appeal**

After a decision has been made in a misconduct case this decision may be appealed using either internal or external appeals processes described in the *Faculty Handbook*. To avoid unnecessary and multiple appeals and grievances, any party with concerns about hearing procedures should make those concerns known during the hearing procedure, and those issues shall be considered by the person(s) then making the recommendation or decision. Simultaneous appeals cannot be made on the same case.

### **7.2.6.1 Appeals to the President.**

Disciplinary action taken by the Provost may be appealed in writing to the President within 20 days following receipt of the Provost's decision or, in case an appeal is filed with the Faculty Senate Judiciary and Appeals council, 20 days after being informed of their decision. The appeal should include a statement of reasons for the appeal, with references to the evidence that supports the appeal.

### **7.2.6.2 Appeals to the Board of Regents.**

Decisions of the President may be appealed to the Board of Regents. The respondent may appeal an adverse finding by the President to the Board of Regents no later than 20 days following receipt of the President's decision, or of the conclusion of an internal appeal, by filing the appeal with the Office of the President for transmission to the Board. The Board of Regents has final power in matters of faculty discipline. The appeal should include a statement of the reasons for the appeal, with references to the evidence that supports the appeal.

### **7.2.6.3 Appeals to the Courts.**

Decisions of the Board of Regents may be challenged by filing a petition for judicial review in Iowa District Court. State law and Iowa court rules determine the procedure for filing and handling such challenges.

### **7.2.6.4 Request to Reopen.**

The respondent may request to have his/her case reopened under the following circumstances:

- New evidence is discovered that was unavailable at the time of the hearing, and the new evidence clearly undermines confidence in the findings; or
- Evidence is discovered that a party provided false or misleading evidence on a key issue and this evidence clearly undermines confidence in the findings.

The respondent is limited to one request for re-opening the entire case. The request must be submitted in writing. The request to reopen the case will be rejected if the evidence was raised during a hearing or appeal of the disciplinary action, and the hearing or appellate authority adequately considered the matter in making its decision. Requests to have a case reopened should be made to the Provost for minor sanctions or to the President for major sanctions.

### **7.2.6.5 Faculty Senate Appeals.**

The respondent may file an appeal with the Faculty Senate Judiciary and Appeals Council if he or she believes there was egregious procedural error, which fundamentally undermined the hearing process. The Judiciary and Appeals Council will examine only the procedural issues raised in the appeal. Such appeals may be rejected if the respondent knew of the defect in the procedures during the proceeding and failed to bring it to the attention of the hearing or appellate body. Should the Judiciary and Appeals Council conclude that egregious procedural errors were

made they may recommend to the Provost (for minor sanctions) or the President (for major sanctions) that the case be reopened.

Appeals to the Judiciary and Appeals Council must be made within 20 days after the respondent is informed of the sanction decision.

### **7.2.6.6 Appeals following an APA Hearing.**

If an APA Hearing is held, the exclusive process for appealing is provided in Iowa Code Chapter 17A and in Iowa Administrative Code Chapter 681-20.

## **7.2.7 Definitions**

### **7.2.7.1 Administrative Leave.**

Administrative leave is defined as removal from some or all university duties with no reduction in salary. Administrative leave is not considered a sanction, but instead is an interim action used to protect the institution, the investigation of a case, or individuals involved in a case during the conduct of an investigation or hearing.

### **7.2.7.2 APA Hearing.**

When a case is deemed serious enough to warrant a major sanctions hearing, the faculty member will be given an election to receive a formal hearing under the Iowa Administrative Procedure Act (Iowa Code Chapter 17A). Such hearings, also called "contested cases," are held before a state Administrative Law Judge. The Administrative Law Judge will hold the proceedings in accordance with found in Chapter 17A of the Iowa Code, and Iowa Administrative Code Chapter 681-20.

### **7.2.7.3 Days.**

In all references to "days" in this document, the reference shall be to working days, that is, days the University offices are open for business (even though classes may not be held).

### **7.2.7.4 Faculty Member.**

Reference to "faculty" includes all members of the faculty as defined in Article I of the Faculty Senate Constitution,

[http://www.facsen.iastate.edu/documents/constitution/const\\_approved\\_feb\\_24.html](http://www.facsen.iastate.edu/documents/constitution/const_approved_feb_24.html). This includes individuals simultaneously holding faculty rank and administrative positions. All faculty members who hold administrative appointments whose titles contain the term president, provost, or dean are ineligible for appointment to the faculty pool or to serve on a Faculty

Review Board or a Major Sanction Committee. Chairs are ineligible for appointment to the faculty pool or to serve on a Faculty Review Board or a Major Sanction Committee.

### **7.2.7.5 Faculty Panels.**

A pool of at least 25 tenured faculty members will be identified by the Faculty Senate President and confirmed by the Provost for service on Faculty Review Boards and Major Sanction Committees. Individuals will serve a three-year term and are eligible for reappointment. The pool should include a broad range of individuals representing the ethnic, racial, gender, and disciplinary diversity of the university. Individuals should be selected for their ability to bring independence and impartiality to the proceedings and for their stature and respect gained in the course of their professorial work. In cases of alleged academic misconduct individuals may be selected for their professional expertise. Agreement to serve carries with it the responsibility to provide diligent service when asked. Each May the Faculty Senate President will confirm the continued availability of those whose terms are not yet complete and will provide names to the Provost to complete a full slate of pool membership.

Compensation will be made to members of either a Faculty Review Board or a Major Sanction Committee for work on any day that is not in accord with the B-Base contract.

### **7.2.7.6 Major Sanctions.**

For the purpose of this document, major sanctions consist of: dismissal, suspension without pay for at least one month, reduction in salary, removal of graduate supervision privileges, cancellation of graduate college membership, removal of distinguished titles, reparations of \$2,000 or more, or significant reassignment of duties.

### **7.2.7.7 Minor Sanctions.**

For purposes of this document, minor sanctions consist of: probation, suspension of less than one month without pay, minor reassignment of duties, mandatory training, a probationary period, letters of reprimand, restrictions on contact with the complainant, mandatory training, or reparations of less than \$2,000.

### **7.2.7.8 Non-disciplinary Corrective Action.**

Non-disciplinary corrective action may include issuance of a letter of direction, requiring the faculty member to review relevant policies, requiring attendance at training, or similar action. Non-disciplinary corrective action may be suggested or required by a department chair independent of the disciplinary process as a means of assuring a faculty member is aware of the law or institutional policy.

### **7.2.7.9 Reassignment of Duties.**

Reassignment may occur as a result of action other than discipline. For example, elimination of a program may require reassignment. It is not intended that the disciplinary procedures should be used for reassignment for other than disciplinary reasons.

### **7.2.7.10 Suspension.**

Suspension is defined as severing of a university responsibility without pay. Total suspension is defined as total severing of all university responsibilities without pay.

Chapter 7 contains changes approved by the Faculty Senate on September 11, 2007, and the president and provost on September 18, 2007.

## **Faculty Handbook - 8. University Community Policies**

Changes to this section were approved by the Faculty Senate, November 14, 2006.

8.1 [Board of Regents Policies](#)

8.2 [Policies on Personal Conduct](#)

8.2.1 [Policy on Discrimination and Harassment](#)

8.2.2 [Policy on Conflicts of Interest](#)

8.2.2.1 [Principles](#)

8.2.2.2 [Legal Provisions: Iowa Code](#)

8.2.2.3 [Legal Provisions: Federal Guidelines](#)

8.2.2.4 [Purpose](#)

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8.2.2.6 [Consulting Activity](#)

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- 8.4.9 [Employment Related Liability](#)
- 8.4.10 [Policy and Information References](#)

## **8.1 Board of Regents Policies**

The Board of Regents, State of Iowa, is charged by law with the responsibility for the governance of the public universities of Iowa. In line with this responsibility, the Board adopts 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.

Violation of these policies, may be considered faculty misconduct and will be dealt with following the procedures in the faculty conduct policy.

## **8.2 Policies on Personal Conduct**

Changes to this section were approved by the Faculty Senate, November 14, 2006.

### **8.2.1 Policy on Discrimination and Harassment**

Iowa State University's [Discrimination and Harassment Policy](#) prohibits all members of the University community to engage in actions defined as harassment.

### **8.2.2 Policy on Conflict of Interest**

Section 8.2.2 was approved by the Faculty Senate on 11/07/95.

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.

Violation of the conflict of interest policy may be considered faculty misconduct and will be dealt with following the procedures in the faculty conduct policy.

### **8.2.2.1 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.

### **8.2.2.2 Legal Provisions: Iowa Code**

All university employees should be aware of any possible conflict of interest situations or activities that are prohibited in Code of Iowa Chapter 68B entitled "Conflicts of Interest of Public Officers and Employees." It is impermissible for employees to use state facilities, equipment, supplies and employees for the employee's private advantage or financial benefit, unless those services are generally available to the public on the same basis. Iowa Code 68B.2A. It is also impermissible to use, or to allow private use (regardless of whether the employee has private business purpose) of the state's facilities, equipment, supplies or employees for private purposes and personal gain to the detriment of the state. Iowa Code 721.1(5).

### **8.2.2.3 Legal Provisions: Federal Guidelines**

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

### **8.2.2.4 Purpose**

This policy is to provide a mechanism for the following:

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

### **8.2.2.5 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.

### **8.2.2.6 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.

### **8.2.2.7 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.

### **8.2.2.8 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.

### **8.2.2.9 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.

### **8.2.2.10 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. ([8.2.2.5 Relationships](#))

### **8.2.2.11 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.

### **8.2.2.12 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.

### **8.2.2.13 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.

### **8.2.2.14 Disclosure**

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

The following two avenues for disclosure are available:

- On a Gold Sheet. Researchers who submit contract or grant proposal forms (Gold Sheets) must indicate on those forms whether they believe that the proposed activity will constitute a conflict of interest. If they do so indicate, they must inform chairs or other immediate supervisors of the details of the potential conflict. Disclosure is automatically required if the Iowa State University (ISU) employee has an equity interest or a management role in a company supporting research.
- Directly to a Chair/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 chair/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 chair 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 chair for his/her approval.

## **8.2.2.15 Review of Disclosures**

**Departmental Level.** A department chair is responsible for reviewing any disclosures made. If, in his/her opinion, no potential or actual conflict of interest exists, further review is unnecessary. Where a potential or actual conflict exists, the chair must decide if it is serious enough to require intervention or mediation. A chair 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 chair as the reviewer of disclosures.

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

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

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

### **8.2.2.16 Special Cases**

When the university engages in activities with university-employee-owned companies, a potential conflict of interest is possible in these relationships. Board of Regents policy requires prior approval from the Regents before the university can make purchases from a company owned by an employee or an employee's immediate family. Oversight of research relationships with such companies comes under the Conflict of Interest Policy and requires special considerations. The university encourages interested employees to engage in entrepreneurial activities as a way of contributing to the economic development of Iowa. Occasionally, an employee-owned company will wish to establish a research relationship with the university and its employees. The university is willing to work with such companies on the same basis as work done with companies not owned by university employees. To ensure that such relationships do not harm either the university or its employees, special oversight is required.

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

- University Research is Sponsored by the Company. A committee of technically knowledgeable but disinterested faculty or staff is established by an administrator at or above the level of dean. The committee will oversee the integrity of the research and assure the university that the work being done is that to which the university agreed.
- The Company, in Exchange for a Fee, Uses University Facilities and/or Equipment. Appropriate fees must be established by the department (unit) head responsible for the facility and/or equipment and must be approved by the vice president for business and finance. Fees should be reasonable and in line with those charged for use by companies not involving ISU employees. A record of amount of use shall be maintained.
- The Company Employs Individuals who are Simultaneously University Graduate Students. The Program of Study committee and/or a committee named to oversee research shall be notified of the potential conflict and the student's work for the dissertation or thesis shall be monitored to assure that the quality of the student's research and graduate experience is not compromised by the connection to the company. Generally, it is inadvisable for the student's advisor to be the student's employer or supervisor in the employee-owned company, but exceptions can be sought from the chair.

### **8.2.2.17 Remedies**

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

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

## 8.2.2.18 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 that 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 integrity (ORI). The ORI will handle the matter in accordance with the Procedure for "Addressing Claims of Misconduct". ([7.2.3 Addressing Claims of Misconduct](#)). Employees who are not faculty members may be subject to the conduct policies outlined in the *Professional & Scientific Handbook*.

## 8.2.3 Code of Computer Ethics

Section 8.2.3 was endorsed by the Faculty Senate on 5/05/92.

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 and copyright violations may be grounds or sanctions against members of the academic community.

Extensive guidelines that govern ethical computer use at Iowa State University are also part of the Code of Computer Ethics maintained by the Office of Academic Information Technologies, <http://policy.iastate.edu/it/ethics/>.

Violators of the code may be billed for illegal use of the computer systems and may be prosecuted for statutory violations, including Iowa Code Chapter 716A, "Computer Crime."

## **8.3 Policies on Professional Activity**

### **8.3.1 Sponsored Funding of Projects**

Approved by the Faculty Senate on April 15, 2008, by the provost and president on January 27, 2009, and reviewed by the Faculty Senate Executive Board on March 31, 2009.

It is the policy of Iowa State University to review all proposals for sponsored funding of projects and to accept them only if they meet the University's standards.

#### **8.3.1.1 Introduction**

Iowa State University receives financial support from a variety of federal, state, and private sponsors of projects. Grants, contracts, or gifts will be accepted only when the project is believed to benefit the University, the State of Iowa, and/or the public in general. ISU is not obligated to accept all sponsorship conditions nor is it obligated to accept projects it deems at odds with its fundamental principles. The availability of funds cannot be the sole justification for undertaking projects. The University has enacted specific policies and procedures for the review of proposed projects and has established conditions under which it will accept sponsored funding of a project to protect the integrity of its programs, to ensure that projects adhere to appropriate legal, quality, and ethical standards of conduct, to ensure adherence to all applicable federal and state laws, and to ensure adherence to appropriate standards of safety. ISU will review the terms of all proposed projects to determine whether the project conforms to the usual University policies and business procedures, permits the University to exercise administrative control and accountability for the proposed project, and adheres to appropriate legal, quality and ethical standards of conduct and safety.

As a public university ISU is dedicated to the principle of free and open dissemination of scholarship and all projects must be reviewed to ensure that they protect the publication rights for faculty, staff, and students. Publication restrictions may place a faculty, staff, or student's academic career in jeopardy. Publication restrictions in a project may place the results and related technical information within the requirements of export control laws. If a project is determined to be subject to export control restrictions, the project must comply with the [University's Export Control Policy](#).

These policies apply to all university activities except for projects administered by the Ames Laboratory. The Ames Laboratory has its own policies and procedures for reviewing and approving projects and is also subject to additional Department of Energy regulations. ISU



Faculty and/or staff conducting projects administered by the Ames Laboratory will be governed by the Ames Laboratory policies and procedures.

### **8.3.1.2 Review of Proposals for Sponsored Funding**

The purpose of this policy statement is to outline the conditions under which ISU will accept sponsored funding of projects and to describe the process whereby proposed sponsored projects are reviewed and approved. All proposed projects are assigned to a review category depending on the nature of the proposed project and/or on the restrictions on publication and/or dissemination proposed by the sponsor either at the time the proposal is submitted (if known at that time) or during the acceptance or negotiation of the award. Projects in each category must go through a specific review and approval process before ISU will agree to accept the project.

#### **8.3.1.2.1 Standard Projects**

Projects in this category are projects for which the sponsor does not seek or require a restriction on the rights of publication or dissemination beyond a 120-day review period of a publication or of dissemination of results. This review period is for the purpose of determining whether the findings of the project may lead to the filing of a patent application or to ensure that none of the sponsor's proprietary information is inadvertently disclosed. The sponsor does not seek or require the right to permanently block or restrict publication beyond the review period. Additional information can be found at the following sites:

- <http://www.ospa.iastate.edu/policies/docs/Gift-Sponsored-Project-final.pdf>
- <http://www.adp.iastate.edu/vpbf/prod/docs/upm/chap9.htm>

#### **8.3.1.2.2 Proprietary Projects**

Proprietary projects involve proprietary information and/or materials provided by the sponsor. A project involving proprietary materials for which the sponsor does not seek or require a restriction on the rights of publication or dissemination beyond a 120-day review period of a publication or of dissemination shall be reviewed in the same manner as a standard project. It is the policy of ISU not to accept awards for proprietary projects for which the sponsor seeks or requires a delay in publication or dissemination of more than 120 days or seeks an absolute right to block or prohibit publication. A request for an exception to this policy must be approved by the Vice President for Research and Economic Development and by the Executive Vice President and Provost of the University. Such requests must have a compelling reason for approval. The simple existence of funds to support the project is not of itself a compelling reason. Additional information is found in the [ISU Policy Library](#).

#### **8.3.1.2.3 Classified Projects**

Classified projects involve a subject or materials that have been classified by the federal government as top secret, secret, classified, or which have been placed in a category restricting

their import or export. Classified projects entail restrictions on the personnel who can be involved in the project, on the operations of the group, on the procedures used, on the facilities used, and on the dissemination of the results and/or products of the project. It is the policy of ISU not to accept proposals for classified projects with such restrictions. A request for an exception to this policy must be approved by the Vice President for Research and Economic Development, by the Executive Vice President and Provost, and by the President of the University. Such requests must have an overwhelming reason for approval. The simple existence of funds to support the project is not an overwhelming reason. These and other restrictions may place the project results and related technical information within the requirements of federal export control laws. If a classified project is determined to be subject to export control restrictions, the project must comply with the University's Export Control Policy. Additional information can be found at the following sites:

- <http://www.adp.iastate.edu/vpbf/prod/docs/upm/chap9.htm>, Sections 9.13, 9.2
- [http://www.vpresearch.iastate.edu/docs/policies/isuexportpolicy04\\_2.pdf](http://www.vpresearch.iastate.edu/docs/policies/isuexportpolicy04_2.pdf)

### **8.3.1.2.4 Weapons Research**

Iowa State University regularly accepts projects funded by agencies such as the Department of Defense that have a wide variety of military purposes as well as applications in the civilian economy. However, the policy of Iowa State University is to not accept any project whose stated goal is the construction of nuclear weapons, or of agents for chemical or biological warfare.

### **8.3.1.2.5 Fee for Service Projects**

Fee for service projects are projects in which ISU personnel carry out specific tasks for external sponsors that are of a service nature. These projects are not considered research projects and the generation of new knowledge or new intellectual property is not the primary goal. These projects are considered service activities and are a valuable part of the ISU Land Grant Mission. Fee for service activities must meet the guidelines set out by the [Office of Sponsored Programs Administration](#) and must be reviewed and approved by the [controller's office](#) following standard procedures.

### **8.3.1.2.6 Personal Consulting**

ISU endorses and encourages faculty and staff to participate in consulting activities. Such consulting is a way to provide service to ISU's community and to enhance the expertise of the faculty and staff. Consulting projects undergo a separate review process to ensure the proposed activity does not impede or interfere with the faculty or staff member's assigned duties, and that use of campus resources is consistent with ISU policies. Faculty and staff must follow the ISU rules for reporting consulting activity.

If consulting projects are to involve students, the project must have a plan showing how the academic advancement of the students will not be harmed. If the proposed work is part of the student's academic work, the plan must show how publication and/or dissemination of the results

of the project will be permitted. This plan must be approved by the student's department chair and a copy must be given to the student. Additional information can be found at the following sites:

- <http://www.adp.iastate.edu/vpbf/prod/docs/upm/chap3.htm>
- *Faculty Handbook*, Section 8.2.2.6
- [http://www.techtransfer.iastate.edu/en/for\\_iowa\\_state/our\\_policies.cfm](http://www.techtransfer.iastate.edu/en/for_iowa_state/our_policies.cfm)

### **8.3.1.2.7 Other Types of Projects**

For some proposed projects it may not be apparent which category of review is appropriate. Such proposed projects may be referred to the Faculty Senate's Committee on Research Planning and Policy, which will make a recommendation to the Vice President for Research and Economic Development as to what category the proposed project should be placed in for review. The committee will not make a recommendation as to whether or not the project should be accepted.

### **8.3.2 Review of Projects/Courses - 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,

<http://www.compliance.iastate.edu/ComplianceWeb/coacProcedures.aspx>.

To initiate review of research projects a Protocol Review Form Use of Animals in Research must be submitted to the Laboratory Animal Resources (LAR) office, (<http://www.lar.iastate.edu/>) This form must be submitted and approved by COAC before any animals are used. The COAC must be informed in writing of any changes in a previously approved protocol. COAC approval must be renewed annually for ongoing projects.

A Protocol Review Form - 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. (<http://www.coac.iastate.edu>) COAC approval of all procedures involving live vertebrate animals must be obtained before any animals are used. About three weeks should be allowed for approval. Questions regarding the Protocol Review Forms and the review process may be directed to the LAR office. (<http://www.lar.iastate.edu>)

### **8.3.3 Grants and Contracts**

The university regularly receives funds (gifts, grants and contracts) from industry, private sources, governmental agencies, and foundations to support various university activities. Such funds are frequently designated for scholarships, equipment, research, or training. Gift and grant funds are accepted only when they may be used in fields authorized by the laws of Iowa and by the regulations of the Board of Regents.

Funds to support contractual research will be accepted when the work involves an area where there are qualified staff members and adequate facilities, and when the research contemplated will be of benefit to the university, the State of Iowa, and/or the public in general. All awards offered must be reported to the Office of Sponsored Programs Administration:  
<http://www.ospa.iastate.edu/>.

### **8.3.4 Classified Research**

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.

### **8.3.5 Consulting**

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

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 For consulting policy, see *Office Procedure Guide*,  
<http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap3.htm#3.1.5>.

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).

Staff members are required to report annually, through their department chair, 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:  
<http://www.provost.iastate.edu/faculty/resources/faculty-consulting-policy.html>.

## **8.3.6 Policy on Educational Material and Intellectual Property**

### **8.3.6.1 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.

Section 8.3.6.1 was approved by the Board of Regents, State of Iowa on 3/12/76.

Note: Sections of this document refer to procedures, university offices and documents that have changed or been renamed. This does not affect the intent or status of the policy. The complete text of this document is on the ISURF web page, <http://www.techtransfer.iastate.edu>.

### **8.3.6.2 Preamble**

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

Creation of such works has come about through the extra effort expended by faculty and staff members who concurrently have satisfied their normal employment commitments with the university to teach, do research, or carry out administrative functions. The works created have been due to the efforts of one individual (or a small informal group), with the university providing encouragement and support through the unrestricted use of the employee's office, library facilities, assistance in the preparation of graphs and charts, minor secretarial assistance and other similar services to assist in the production of the work. Professional Development Assignments have been, and continue to be, granted to faculty where the desire of the grantee has been to create a written work.

Such expressions of ideas through the written word result in manuscripts which are, under Iowa law, the sole property of the author to dispose of as he/she may wish. The only exception to this has been those works created by individuals employed for the specific purpose of writing such works. Through years of development and trial, the freedom to create such works and the encouragement by the university for faculty and staff members to do so, has resulted in the desirable practice described above.

This practice has come to be known as the traditional textbook policy at Iowa State University. No change from this policy is anticipated by this document. Because of advancing technology, and the recognition of the value of audio and visual aids in education, new forms of educational materials have come into existence at Iowa State University. Motion pictures, slides, and videotapes are examples of such valuable educational materials. While most often developed for internal use at Iowa State University, these educational materials are often in a form that directly meets educational needs at other universities or educational facilities elsewhere in the United States and in other countries. On the other hand, these new forms of educational materials, due to their nature, require a more substantial level of direct support by the university to allow their creation.

The new technologies involved require not only the initial creative effort of an author, but often the additional services of a variety of specialists, equipment, and production facilities. The cost of such services and facilities to adapt the author's creative effort into a desired medium may be substantial, and requires the expenditure of significant university funds by a college or department. It is also true that the author must spend extra time and effort, and even learn new skills, to assure that a high-quality final educational product will result.

In the production of these new forms of educational materials, the proportional investment of time and money by the author and the university varies substantially from that involved under the traditional textbook policy. Accordingly, one purpose of this document is to set forth an equitable basis for voluntary agreement between the university and prospective authors (faculty and staff members employed in the variety of departments and colleges at the university) when educational materials are to be developed for internal and external use. It is a further purpose of this document to structure a practical mechanism for the implementation of such agreements, to the benefit of all parties involved.

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

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

### **8.3.6.3 Policies**

- Iowa State University encourages the development of educational materials to assist in meeting its responsibilities for academic instruction, extension, and research.

- The university encouragement is provided by assistance in the preparation of such materials (through salary support, stenographic services, materials and supplies, art work, filming, and other services) as authorized by the appropriate administrative officer(s).
- The university recognizes the vested rights of an author under the Iowa Code. However, if the educational materials are to be developed with university sponsorship, the author is expected to assign these rights for the benefit of the university. It is not intended that this policy affect the traditional university relationship to faculty members' ownership of books or other instructional materials whose preparation was not supported or assisted in a substantial way by the university.
- Individuals preparing or planning to prepare educational materials are encouraged to clarify whether the materials are covered by this policy through consultation with the appropriate department chair and dean.
- In cases in which a prospective author wishes to receive support from the university in a proposed development of educational materials covered by this document, the university will enter into an agreement with the prospective author prior to the development of the university-sponsored educational materials setting forth the extent of support, if any, associated with their development and providing for payment to the author and/or the distribution of earnings, if any should accrue from the use, rental royalties, or sale of the educational materials.
- Monies in excess of costs and appropriate reserves that are received from use, rental royalties, or sale of the university-sponsored educational materials shall accrue to the benefit of the university, with the author receiving by prior agreement a specified portion of the net income. However, the author may receive a share of first receipts.
- Operational responsibility for university-sponsored educational materials is vested in the appropriate deans or their designated representatives.

### **8.3.6.4 Ownership of Course-related Presentations**

Section 8.3.6.4 was approved by the Faculty Senate on 5/02/95.

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

### **8.3.6.5 Intellectual Property: Policies and Procedures**

The Policy on University-Sponsored Education Materials, as approved by the Board of Regents (above), recognizes certain traditional exemptions to the university's ownership. Ownership and licensing of other materials is often reserved to the university. The Office of Intellectual Property and Technology Transfer (OIPTT) or the Iowa State University Research Foundation, Inc. (ISURF). OIPTT maintain current records on the following subjects as listed on their web page: <http://www.techtransfer.iastate.edu>.

- Policy Statement of ISU Concerning University Sponsored Educational Materials
- Patent and Licensing Procedures

- Patent Policy
- Patent Royalty Distribution Policy
- Plant Germplasm Release Policy
- Trademark Management Policy

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 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 University Counsel. ISURF also manages all aspects of protection and use of university trademarks.

### **8.3.6.6 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/she is a participant in the decision to adopt the material for local use.

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

- the use of such textbooks or instructional materials is in accordance with departmental procedures for selecting such materials and the faculty member/author does not participate in the selection process



- because of exceptional circumstances the faculty member's department chair recommends that the faculty member be allowed to retain the normal royalties, and the recommendation is approved by the appropriate dean and the provost.

### **8.3.6.7 Required Readings/Textbook Selection**

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

- multi-section courses
- courses in which an unusually large number of textbooks is required
- instances in which the instructor of the course is author of a book required for that course
- instances in which questions are raised by students or other faculty members concerning selection of any text. For more information on policies governing instances for which the instructor of the course is the author of the book required for the course, see [8.3.6.6 Royalties for Instructional Materials](#).

### **8.3.7 Purchases of Goods or Services from Employees**

#### **8.3.7.1 Conflict of Interest Vendors**

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

Board of Regents employees who have, or reasonably anticipate having, an ownership interest in, a significant executive position in, or other remunerative relationship with a prospective supplier of goods or services to a Regents institution, or who know that a member of their family or other person with whom they have a personal or financial relationship has such an interest, shall not participate in the preparing of specifications, determining qualifying vendors, or selecting successful bidders on products or services in which they have any interest. The potential for conflict of interest exists when an employee maintains a personal business and wishes to provide goods or services to Iowa State University. For the specific policy that governs this activity, see the *Office Procedure Guide*, <http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap10.htm#10.3.4>.

### **8.3.8 Trademark Management Policy**

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, <http://www.techtransfer.iastate.edu>). (Trademark Licensing Program, <http://www.trademark.iastate.edu>.) 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.

### **8.3.8.1 Goals**

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

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

### **8.3.8.2 Management**

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

#### 1. [Licensing is required for all non-university users.](#)

- the Marks must be licensed to the user and the use approved by ISURF, except when the use:
  - is by the news media for news reporting
  - is by an artist in an original work of art which will not be reproduced

- is a congratulatory or supportive advertising message using the university's names but not its logos or symbols. For example, "Go Cyclones" or "Welcome Back ISU Students" are supportive types of messages.
- suppliers of products to the university bearing any Mark must be licensed except when Marks are used on the following products:
  - printed publications and advertising for purposes of institutional and event promotion
  - printed supplies, not for resale
- a product purchased by the university or a university recognized support group such as professional associations, employee organizations, athletic, cultural, and other interest groups for internal consumption or for sale at cost to other members. Promotional products given away by these groups are considered products for internal consumption. If the group has excess product after consumption or sale within its group, it cannot be sold to non-members, but can be given away to non-members.
- selected school supplies which would be considered products purchased by students for course work
- advertising rights to use the Marks as granted in corporate sponsor agreements
- fundraising activities by nonprofit or charitable organizations
- Use of the Marks by entities internal to the university is managed by the university executive officers including the president, the provost, vice provosts, vice presidents, deans, directors, and affiliated organization directors.
- Internal uses which fall within the ordinary business of the university do not require licensing. Products created by a university unit for resale, and bearing the Marks must be licensed, except for educational and scholarly materials owned by the university and printed publications and advertising for purposes of institutional and event promotion.
- Royalties are not payable on internal uses which do not require licensing. The Guidelines for the Internal Use of Iowa State University's Marks provides the management details.
- The university president appoints a Trademark Advisory Committee to assist ISURF in addressing issues related to the management of the university Marks. The advisory committee consists of representatives from university units which may provide a unique perspective and which are key stakeholders in the use of the Marks.
- Net revenues are distributed to university units under a policy determined by the university president. Distribution is approved by the ISURF Board of Directors.

## 8.4 Basic Operating 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, the employee should read the actual language of the statute or rule or direct the question to the Office of University Counsel. 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 Counsel.

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

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

## **8.4.1 Non-Discrimination/Affirmative Action Policy**

### **8.4.1.1 Policy and Guidelines**

Reaffirmation 6/1/98 and 11/14/06.

All administrators and personnel providing input into administrative decisions must ensure that all decisions relative to employment, conditions of employment, and access to programs and services will be made without regard to race, ethnicity, sex, pregnancy, color, religion, national origin, physical or mental disability, age (40 and over), marital status, sexual orientation, gender identity, status as a U.S. veteran (disabled, Vietnam, or other), or other protected class.

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, ethnicity, sex, pregnancy, color, religion, national origin, physical or mental disability, age (40 and over), marital status, sexual orientation, gender identity, status as a U.S. veteran (disabled, Vietnam, or other), or other protected class. Iowa State University will make employment decisions to further the principle of equal employment opportunity and diversity.

No otherwise qualified person will be denied access to, or participation in, any program, activity, service, or the use of facilities on the basis of factors previously enumerated. Reasonable accommodation will be made to facilitate the participation of persons with disabilities in all such activities consistent with applicable federal and state laws, orders and policies.

All supervisory personnel will be responsible for maintaining an environment that is free of discrimination and/or harassment. Acts by anyone that adversely affect another person's employment, conditions of employment, academic standing, receipt of services, and/or participation in, or enjoyment of, any other activity, will be regarded as a violation of university policy and thereby subject to appropriate disciplinary action. Retaliation against persons filing complaints for bringing the violation of this policy forward for review or for assisting in a review pursuant to a filed complaint or grievance is prohibited.

Iowa State University's commitment to nondiscrimination and affirmative action is of the highest priority and must be adhered to as such. It applies to all university-sponsored programs and activities as well as those that are conducted in cooperation with the university.

Additional information regarding Non-Discrimination/Affirmative Action Policy can be found at the following links: <http://policy.iastate.edu/policy/discrimination/> and <http://www.hrs.iastate.edu/AAO/reaffirmation.pdf>

Approved by the Faculty Senate on October 9, 2007, and by the president and provost on October 26, 2007.

## 8.4.1.2 Sources of Support

<http://policy.iastate.edu/policy/discrimination/>

<http://www.hrs.iastate.edu/AAO/reaffirmation.pdf>

The Office of Equal Opportunity and Diversity (EOD) is responsible for handling complaints of discrimination based on to race, color, age, religion, national origin, sexual orientation, gender identity, sex, marital status, disability, or status as a U.S. veteran. The university's Associate Vice President, Human Resource Services also serves as the university's Director of Equal Opportunity and Diversity, and is responsible for implementation of this policy. Questions regarding complaints and/or issues involving affirmative action or equal opportunity should be directed to the Office of Equal Opportunity and Diversity (<http://www.hrs.iastate.edu/AAO/eod/>).

The Margaret Sloss Women's Center is responsible for promoting the development of all women to their fullest potential and for enhancing the university's learning environment by fostering intellectual growth and providing a supportive environment for women students, faculty, and staff.

Three university-wide committees with representation of faculty, staff, and students have been established to assist the administration in its efforts toward continual improvement of equal opportunity.

- The University Committee on Disabilities is responsible for sharing knowledge concerning disabilities with the university community, for fostering awareness of the needs of persons with disabilities, and for advocating ways to meet those needs. <http://www.hrs.iastate.edu/diversity/cod.htm>
- The President's Advisory Committee on Diversity is responsible for assessing campus climate and making recommendations for improvement. [http://www.hrs.iastate.edu/diversity/doc/pacd/pacd\\_pres\\_council\\_v3.pdf](http://www.hrs.iastate.edu/diversity/doc/pacd/pacd_pres_council_v3.pdf)
- 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 for making appropriate recommendations to the administration. <http://www.public.iastate.edu/%7Eucw/>

## **8.4.2 Inclusive Language Policy**

Section 8.4.2 was approved by the Faculty Senate on 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.

### **8.4.2.1 Policy and Guidelines**

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

### **8.4.2.2 Sources of Information**

The Office of Equal Opportunity and Diversity, 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.

## **8.4.3 Drug Free Workplace**

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

### **8.4.3.1 Policy and Guidelines**

In keeping with the appropriate laws, regulations, and orders, it is unlawful for employees to manufacture, distribute, dispense, possess, or use illegal drugs in the workplace. Violation of this policy will result in appropriate disciplinary action, up to and including dismissal. In addition, an employee who violates this policy may be required to participate in a drug abuse assistance or rehabilitation program.

Each employee is responsible for abiding by the terms of this policy and for notifying the university of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction. The university will notify the contract or granting agency within 10 days after receiving notice of the criminal drug statute conviction as stated above.

All employees are expected and required to report to work in an appropriate mental and physical condition to carry out their responsibilities safely and effectively, absent any impairment because of use of controlled substances or alcohol. Failure to comply by the employee with this expectation may result in serious disciplinary sanctions, up to and including the termination of an individual's employment. In cases in which the university has probable cause to believe an employee's ability to perform duties is impaired due to the use of alcohol or controlled substances, the employee will be confronted and required to undergo testing and/or treatment. Failure to comply by the employee will be the basis for serious disciplinary action.

### **8.4.3.2 Sources of Information**

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

### **8.4.4 Occupational Safety Policy**

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

#### **8.4.4.1 Policy and Guidelines**

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

#### **8.4.4.2 Sources of Information**

The Office of Environmental Health and Safety at Iowa State University, <http://www.ehs.iastate.edu/>, will answer specific questions regarding guidelines and compliance issues.

### **8.4.5 Policy on Smoking**

The faculty recognizes the importance of an environment that promotes health and well being. The University policy on smoking is located in the Policy Library at the following URL: <http://policy.iastate.edu/policy/smoking/>.

Approved as amended by the Faculty Senate April 24, 2007

## **8.4.6 Travel Regulations**

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

### **8.4.6.1 Policy and Guidelines**

All absences from the campus during periods of regular employment, whether at university or private expense, require administrative approval. For those whose regular duties normally require in-state travel, the usual procedures requiring a department chair'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 chair and the dean and/or director.

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

Staff members who expect to engage in projects in another country for more than two weeks should secure approval from the provost before they make their plans. Travel authorization then should be secured at least 30 days before departure is planned.

Staff members who plan to leave the campus during a period of regular employment should study the travel regulations on file in each departmental office. These regulations indicate the specific procedures to be followed.

The practice of paying expenses for attendance at professional meetings varies among the colleges and departments according to needs and available funds. Staff members should consult the chair of their department.

### **8.4.6.2 Sources of Information**

Detailed information explaining university travel policies and procedures can be found in Section 8 of the *Iowa State University Office Procedure Guide*, <http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap8.htm#8.0>.

## **8.4.7 Gifts to Faculty**

Acceptance of gifts by state employees is regulated by Iowa Code 68B.22. Employees may not receive any non-cash gifts worth more than three dollars or cash gifts of any amount from "restricted donors." Restricted donors are those persons or firms that have or are seeking a



contract with the university or otherwise will be affected financially by the performance of the state employee's duties.

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

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

## **8.4.8 Policy Regarding Open Meetings at Iowa State**

As a general rule, state law does not require that committee meetings be open to the public. The university, however, does wish to promote the principles of open meetings. University policy and guidelines are as follows.

### **8.4.8.1 Unlisted Committees**

If a university council or committee is not listed in the directory of councils and committees, <http://www.provost.iastate.edu/office/councils.html>, or the Faculty Senate web page, <http://www.facsen.iastate.edu/councils/>, 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.

### **8.4.8.2 University Councils and Committees**

University councils and committees, with the exception of the Athletic Council and the Leopold Center Advisory Board will follow the following procedures.

An announcement should be submitted to the *Iowa State Daily* to provide to the public at least a one-day notice prior to each meeting. The notice should include the name of the council or committee, a tentative agenda, and the time, date and place of the meeting. In addition, the notice should be provided to ISU's University Relations Office.

Minutes should be kept of each meeting and should include the date, time, place, members present, and action taken. The minutes should show the results of each vote taken. The minutes need not be exceedingly detailed, but they should make it possible for a reader to ascertain the general subject matter discussed at the meeting and any decisions made. A custodian for the minutes should be designated from the committee membership, and he/she should maintain them

in an orderly and up-to-date fashion. The designated custodian must allow anyone to inspect the minutes.

In the event that a committee or council chooses to exclude the public from a meeting, certain procedures must be strictly observed:

- Two-thirds of the members of the council or committee, or all of the members present at the meeting, must vote in the affirmative to close the meeting.
- The vote of each member on the question of holding a closed session must be recorded in the minutes.
- Detailed minutes of all discussions, persons present, specific reasons for closing the meeting, and all actions occurring at the closed session must be kept; the only matters which must be made public, however, are the reasons for closing the meeting and the vote of each member on whether to close the meeting.
- Any final action on any matter discussed in the closed session must be taken in an open session unless some provision of the Iowa Code or federal or constitutional law expressly requires or permits such action be taken in a closed session.
- No business may be discussed which does not directly relate to the specific reason announced as justification for the closed session.

A meeting may be closed, if necessary, for any of the following reasons:

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

- Real Estate Purchase. Meeting to discuss the purchase of particular real estate, but only where premature disclosure could reasonably be expected to increase the price the university would have to pay for that property. The minutes of a session closed under this paragraph shall be available for public examination when the transaction discussed is completed.

### **8.4.8.3 Athletic Council and Leopold Center Advisory Board**

As provided by Iowa Law the Athletic Council and the Leopold Center Advisory Board follow the provisions of Iowa Open Meetings law.

### **8.4.9 Employment Related Liability**

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

### **8.4.10 Policy and Information References**

The *Iowa State University Catalog* (<http://www.public.iastate.edu/~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 *University Catalog* (<http://www.iastate.edu/~catalog/2001-03/graduate/index.htm>) contains a section that is referenced as the 'Graduate College' that is relevant to Graduate College policies and procedures. The Graduate Catalog is not printed separately.

The *Faculty Handbook* (<http://www.provost.iastate.edu/faculty/handbook/>) provides a description of university structure, function, policies, and procedures. It is revised every year under the supervision of the provost. It is available online and is furnished to each department and to each member of the faculty who requests it.

The *Office Procedure Guide* (<http://www.adp.iastate.edu/vpbf/prod/docs/opg/opg.htm>) is a detailed compilation of policies and procedures to be followed in the handling of university fiscal and personnel matters.

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.

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.

# Faculty Handbook - 9. Faculty Grievance Procedures

Approved by Faculty Senate 4/7/2009; approved by president and provost 4/21/2009.

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## 9.1 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(s) and is directed at the appellee(s). 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. Section 5.2.4.3.5 determines when an appeal of a promotion or tenure decision may occur and the information to be considered in such an appeal.

All faculty are eligible to appeal. See section 3.3, Types of Appointments, for further information on types of faculty appointments. Appeals must be initiated no more than 30 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(s).

There are two independent channels for the consideration of appeals:

- administrative
- Faculty Senate Committee on Appeals (FSCA)

Faculty members may use either channel or both consecutively but not simultaneously.

## **9.2 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 chair, a dean, the provost, the president, or the Board of Regents. Appeals may be initiated at any calendar time within 30 working days (i.e., days the university is officially open) of the action or decision being contested. Appeals presented initially to the provost or president may be referred to the Faculty Senate Committee on Appeals, where they will be treated as described below. (See also section 9.3.6.3 regarding appeals to the Board of Regents.)

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 25 working days from the date the appeal was received. The written response shall describe the evidence considered, state the decisions made, and review the reasoning that led to the decisions. If the appeal is denied, the appellant(s) has 15 working days to appeal the decision to the next administrative level or the FSCA, as described in Section 9.3.

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.

## **9.3 Appeal through Faculty Senate Committee on Appeals**

### **9.3.1 Faculty Senate Committee on Appeals**

Established by the Faculty Senate to consider appeals by any faculty member, the Faculty Senate Committee on Appeals is composed of at least 16 faculty members, plus the chairperson who is elected annually by the Faculty Senate. No member may be a departmental, college, or university administrative officer. Details of the committee structure are described in the Faculty Senate Bylaws. The FSCA is a body that investigates and recommends a course of action; it is not an advocate group for faculty members who believe that they have been treated unfairly. When a case is brought to the committee, it is investigated with due consideration given to the appeal and to the counterarguments offered by the appellee(s). Following a confidential committee investigation and discussion of the allegations and pertinent evidence, a committee recommendation is made relative to the remedies sought. These recommendations are sent to the provost. If the provost's decision at this point is not acceptable to the appellant(s), it may be appealed to the president and, ultimately, to the Board of Regents. (See also section 9.3.6.3.)

No member of the 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.

### **9.3.2 Procedures in a Faculty Appeal**

#### **9.3.2.1 Contacting the Committee**

Potential appellants should contact the Faculty Senate Office to obtain the name of the chairperson of the FSCA. In a confidential preliminary conference, the chairperson of the FSCA will advise the potential appellant(s) regarding the appropriate procedures in an appeal process. 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.

#### **9.3.2.2 Initiating an Appeal**

The faculty member must do the following:

- complete the Request for Study of an Appeal form
- sign a release form that includes suggested parties to be interviewed
- 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.

### **9.3.2.3 Timing of Initiation of an Appeal**

Appeals may be initiated at any calendar time within 30 working days of the action/decision being contested. Exceptions to this 30-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 30 working days are left in a spring semester, an appeal may be held over the summer. For appeals that do not involve employment issues, the 30-day time limit may be extended a maximum of 30 working days if evidence of actively working with the Ombuds Office is provided by the faculty member to the chair of FSCA prior to the deadline.

### **9.3.3 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 (AHIC) of three. The appellant(s) and appellee(s) shall be informed of the AHIC membership. The appellee(s) will be given a copy of the materials submitted by the appellant(s) and a copy of the FSCA Rules of Procedure. The appellant(s) and appellee(s) may each request removal of one member from the AHIC. This request needs to be made within five working days of notification of the committee membership. The FSCA chairperson chooses replacement member(s). The appellee(s) has 10 working days to submit to the FSCA 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).

#### **9.3.3.1 Ad Hoc Investigative Committee Procedures**

The AHIC shall keep a written log when conducting an investigation. It shall, where possible, interview all witnesses specified by the appellant(s), by appellee(s), and by other principal parties to the appeal. Other persons may, at the discretion of the AHIC, be interviewed. Interviewees may be accompanied by a counselor(s) at their expense. Only the AHIC, its legal counsel, if any, and persons approved by the party being interviewed shall be present during these confidential interviews. The AHIC has 30 working days to complete its investigation and submit its report. Adjustments may be made in the time schedule, provided the appellant(s), appellee(s) and the AHIC agree, or, in the event of no such agreement, with the approval of the FSCA chairperson.

### **9.3.3.2 The Ad Hoc Investigative Committee Report**

After completing its investigation, the AHIC 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 AHIC'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 10 working days to consider the report prior to a meeting of the FSCA called to act on said appeal.

### **9.3.3.3 Response to the Ad Hoc Investigative Committee Report**

Within this ten-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 AHIC's findings. The chairperson shall arrange a reciprocal exchange of explanatory statements between the appellant(s) and appellee(s) 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 AHIC's findings.

### **9.3.3.4 Terminating an Appeal**

At any stage prior to submission of the AHIC's report, the appellant(s) may request in writing to the FSCA chairperson that consideration of the appeal be terminated. In such a case, the chairperson of the AHIC shall submit to the FSCA chair and to the appellee(s), 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 AHIC report has been submitted, however, the appellant(s) may not terminate an appeal.

### **9.3.4 FSCA Hearing of Case**

After the 10-day period described above, a quorum of the FSCA shall meet in closed session within five working days to review the appeal, the AHIC findings, its recommendations and all written explanatory statements submitted by the appellant(s) and appellee(s). In this discussion, the full FSCA will formulate specific recommendations based on the AHIC's tentative recommendations regarding disposition of the appeal. Upon returning to open session, a quorum of the FSCA shall vote by secret ballot on the recommendations in the case. Any FSCA member, present for voting, may individually submit any written commentary, corrections, rebuttal, or opinions as to why the recommendations should be accepted or rejected.



### **9.3.4.1 FSCA Reporting Procedures**

The FSCA recommendations, including a tally of the vote, the investigative findings and attachments, the responses of the appellant(s) and appellee(s), and any concurring or dissenting opinions, shall be submitted by the FSCA chairperson to the provost within five working days from the date of the appeal hearing.

The FSCA chairperson shall also inform the appellant(s) and appellee(s) of the committee's recommendations within five working days of the committee's meeting.

### **9.3.5 Limitation**

Once considered by the committee, an appeal may not be reopened unless there is significant new evidence in the judgment of the FSCA.

### **9.3.6 Responsibilities of Provost and President**

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 working days from the date of submission of the FSCA recommendations. The chairperson shall inform the FSCA of the response by the provost. If the provost denies the appeal, the appellant(s) has 15 working days to appeal the provost's decision to the president.

#### **9.3.6.1 Appeal of an Action of the Provost**

In cases where the faculty member is appealing an action of the provost, the final disposition of the appeal, rests with the president. The FSCA report and recommendations to the president will be sent to the provost for reconsideration of the initial decision. If the provost's decision is unchanged, the provost's report and recommendation will be forwarded to the president with the FSCA recommendation and all materials related to the appeal within 10 working days from receipt of the FSCA report. The president's report containing his/her decision shall be sent to the appellant(s), appellee(s), the provost, and the chairperson of the FSCA within 15 working days from the receipt of the provost recommendation. If the president rejects the appeal, written reasons must be included in the president's report. The FSCA chairperson shall inform the FSCA of the response by the president. If the president denies the appeal, the appellant(s) has 20 calendar days to appeal the president's decision to the Board of Regents.

#### **9.3.6.2 Appeal of an Action of the President**

In cases where the faculty member is appealing an action of the president, the FSCA recommendation will be submitted to the president who will reconsider the initial action. If the president's initial decision is unchanged, the president will prepare a report containing written reasons for his or her decision. The FSCA report and the president's report will be forwarded to the Board of Regents within 15 working days of the submission of the FSCA recommendations. The president's report shall be sent to the appellant(s) and the chairperson of the FSCA.

### **9.3.6.3 Appeal to Board of Regents**

A decision may be appealed to the Board of Regents only once. Therefore, if the administrative appeal channel is used and the president denies the relief sought, appellants must decide whether (a) to appeal directly to the Board of Regents or (b) to avail themselves of the opportunity to use the Faculty Senate Committee on Appeals (FSCA). Election of alternative (a) will preclude subsequent use of alternative (b). If the FSCA is used, its recommendation will go to the president as outlined in Section 9.3.6.2

This section is not to be construed as implying that the administrative channel must be pursued to the presidential level before using the FSCA. Instead, faculty members may pursue the administrative appeal channel to any level up to and including the president before turning to the FSCA. But faculty members may decide to turn to the FSCA, either as a first recourse or in response to denials of relief sought at lower administrative levels.

## **9.3.7 Keeping Records**

### **9.3.7.1 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.

### **9.3.7.2 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 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.

### **9.3.7.3 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.

## 9.4 Amendments

Amendments to this policy shall be governed by the same rules which apply to amendments of the Faculty Senate 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*.

# Faculty Handbook - 10. Instruction

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## 10.1 Introduction

As stated in the Faculty Senate Constitution, the Faculty "is responsible for educational policies and procedures, including admissions requirements, graduation requirements, curriculum and course revisions, new degree programs, and grading procedures." Relevant policies and procedures are found in the *University Catalog*, <http://www.public.iastate.edu/~catalog/>, the *Schedule of Classes*, <http://www.iastate.edu/~catalog/schedule/>, the *Undergraduate Academic Advising Handbook*, [http://www.public.iastate.edu/~provost\\_info/advising/Handbook/handbook.html](http://www.public.iastate.edu/~provost_info/advising/Handbook/handbook.html), the *Student Information Handbook*, <http://www.dso.iastate.edu/handbook.html>, and *AccessPlus*, <http://accessplus.iastate.edu/>. Resources for developing and improving teaching skills are available at the *Center for Excellence in Learning & Teaching*, <http://www.cte.iastate.edu/>. Policies and procedures concerning students with disabilities can be found at *Disability Resources*, <http://www.dso.iastate.edu/dr/>. The policies and procedures published in this section are those adopted or administered by the Faculty Senate.

## 10.2 Admissions Requirements

Revisions approved by Faculty Senate on 4/21/2009 and by president and provost on 4/29/2009.

Iowa State University admissions requirements are set by the Board of Regents of the State of Iowa (see [Catalog](#)).

## 10.3 Student Academic Performance

### 10.3.1 Special GPA Requirements

Section 10.3.1 was approved by the Faculty Senate on 10/14/1997.

A program is required to seek approval if it wishes to establish a minimum GPA requirement for admission, continuation, or graduation that exceeds the university requirement. In its request, the program must provide the following:

- a rationale for the special requirement based on expected student learning outcomes
- an equitable, rational, purposeful way that the requirement will be established, implemented, and evaluated

The Faculty Senate Academic Standards and Admissions Committee (FSASAC) is responsible for approving special requirement requests and for reviewing existing requirements on a regular cycle.

## 10.4 Attendance Policies

Section 10.4 was revised by the Faculty Senate 12/14/1999.

## 10.4.1 Class Attendance

Approved by the Faculty Senate on 3/4/2008 and by the president and provost on 3/24/2008.

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.

Students are expected to attend class meetings as scheduled. Each instructor sets his or her policy on class attendance, and excuses for absence from class are handled between the student and the instructor.

Additional information regarding discretionary accommodation for disability and religion are available at <http://www.hrs.iastate.edu/AAO/eod/reasonaccom.shtml>

## 10.4.2 Curricular-Related Activities

Trips away from campus as part of a course are often appropriate educational experiences. They may not, however, take place during the first or last week of the semester, nor may they extend over more than two consecutive class days (Monday - Friday); these regulations may be waived only by special permission of the dean of the college in which the course is offered. Students should consult with instructors whose classes will be missed. If a mutually satisfactory agreement between the instructors and the student cannot be reached, the student cannot be required to attend the curricular-related activity or be penalized by the instructor for missing the curricular-related activity.

## 10.4.3 Extra-Curricular Activities

Students occasionally participate in non-credit events (competitions, conferences, presentations, programs, and performances) scheduled by academic or athletic units of the university at times that conflict with scheduled classes. Students who miss class for these reasons are responsible for completing all assigned course requirements in a timely manner.

Instructors are encouraged not to penalize students who miss class because they represent Iowa state university in activities such as:

- a. academic and professional conferences
- b. intercollegiate athletic and judging competitions
- c. musical, theatrical, dance and other artistic performances
- d. presentations or programs given to external audiences about ISU or academic matters

Ultimately, however, it is up to each instructor to decide whether absences will or will not be excused for participation in these activities.

In all cases, the person responsible for the event or activity should provide participants with a letter explaining the proposed absence. Students are obliged to ensure that instructors receive this documentation at least 10 days in advance of the activity or event.

Instructors are urged to provide timely opportunities for students to take missed examinations and/or make up missed assignments. While instructors are free to change the format of make-up exams or assignments, students should be evaluated by the same standards as other members of the class.

Instructors and others who organize curricular and extra-curricular activities are urged to exercise moderation in scheduling events or activities that conflict with the academic rhythm of the university. Wherever possible, recurring activities or events should not be scheduled for the same period of time during a semester. If this is inevitable, then instructors, advisers and coaches are strongly advised to forewarn their affected students not to enroll in courses that will result in repeated absences.

## **10.5 Policy for Dealing with Classroom Disruption**

Section 10.5 was approved by the Faculty Senate on 12/10/2002.

### **10.5.1 Policy Statement**

The university encourages all instructors to strive for free and open communication within their classrooms. However, for student learning to be most effective, classrooms must maintain a civil environment, free from intimidation, disruption, violence, and harassment.

A fundamental principle underlying university governance and academic freedom is that the faculty has the responsibility to determine the curriculum, methods of delivery, and means for assessing student performance. The general faculty discharges this curriculum responsibility through curriculum committees at the department, college, and university levels. Curricula and course descriptions are approved by the Faculty Senate and the Board of Regents, State of Iowa. Individual course descriptions in the University Catalog are the manifestation of the general faculty's expectations for the course. Individual faculty members then determine the exact nature of the course content, method of delivery, course assignments, etc., and have full responsibility to assess and evaluate student performance.

Student comments on the course may be expressed to the instructor or the Department Chair and are solicited on course evaluations. Students, who feel they have been treated unfairly, may file an Appeal of Academic Grievances (see Iowa State University Catalog, or see <http://www.iastate.edu/~catalog>).

### **10.5.2 Response to Classroom Disruption**

Should any student officially enrolled for credit or audit in a class disrupt the instructor's ability to ensure a safe environment, control the class agenda, and/or deliver the approved curriculum,

the instructor has the right to ask that the disruptive action cease immediately. The instructor may find it useful to include general guidelines about disruptive behavior on the course syllabus; and in the event of a classroom disruption, the instructor may, if she or he finds it necessary, explain to the student and the class why the particular action is deemed disruptive. The instructor should also take into consideration complaints of disruptive behavior brought to their attention by students. The responsible student should cease the disruption and utilize non-disruptive means for expressing disagreement or concern. If the disruption continues, the instructor can pursue various forms of intervention, including suspension from class, use of student disciplinary regulations, or police intervention, as discussed below.

Although most situations are best resolved without resorting to requests for police intervention, the Department of Public Safety should be called when the disruptive behavior prohibits the continuation of the class. The Department of Public Safety may also be called if any person enters or remains in the classroom after being asked by the instructor to leave.

### **10.5.3 Procedure to Suspend a Student from Class Attendance**

If, in the instructor's opinion, the student should be suspended from attending the class, the instructor must request the Chair of the Department offering the course to suspend the student from the class until a decision is reached by the Chair as to whether the student will be allowed to return to the class. When the course is offered by a Program, the Director of the Program should assume the role of the Chair. Moreover, when the instructor is an administrator, the petition should be reviewed at the next higher level of administration.

If the instructor's request to suspend the student is accepted by the Chair, the suspension will take effect immediately and the student and the instructor will be notified in writing. Immediately after suspension, the Chair must investigate and determine whether to permit the student to return to the class. The Chair must provide the student and the instructor with a written statement of the outcomes of the investigation in a timely manner.

If the instructor's request to suspend the student is not accepted by the Chair, the Chair must explain the reasons to the instructor in writing for not accepting the instructor's request. The Chair must also ensure that the resources in classroom management are made available to the instructor so that the instructor can manage the student upon the student's return to the class. The instructor may, however, appeal the Chair's decision to the Dean of the College.

### **10.5.4 Procedure for Students Returning to Class**

If the student is allowed to return to the class, the Chair must notify both the student and the instructor in writing. The instructor must inform the student of any conditions of the return and of make-up opportunities for missed work. In some cases, it may be productive to have a conference of the Chair, the instructor, and the student before the student is allowed to return to the class. Upon return to the class, further incidents of disruption by the student could be the basis for terminating the student's enrollment in the course and/or for disciplinary action.

## **10.5.5 Procedure to Terminate a Student's Enrollment in a Class**

If the Chair decides that the student should not be allowed to return to the class, the Chair will notify the student in writing of 1) removal from the class, 2) the reasons for removal, and 3) the right to appeal the decision using the Appeal of Academic Grievances process (see Iowa State University Catalog <http://www.iastate.edu/~catalog>). The Chair will also send written notification of the action to the Dean of the student's college, the Dean of the instructor's college, the Dean of Students and the Registrar. The Dean of the student's college must request that the Registrar terminate the student's enrolment in the course administratively.

## **10.5.6 Filing of Disciplinary Charges**

During the investigation phase, the instructor and/or the Chair could also consider whether the conduct that led to the suspension and/or termination should be reported to the Dean of Students for disciplinary charges. If disciplinary charges are filed, the student's pension may continue pending the outcome of the disciplinary hearing (see Student Disciplinary Regulations <http://www.dso.iastate.edu/handbook/sdr.pdf>).

## **10.5.7 Attendance by Persons not Enrolled in a Course**

The University has the right to determine who is enrolled in a class and to control the presence of the person who is not enrolled in the class. A non-enrolled person is allowed in the classroom only at the discretion of the instructor. The instructor should ask the non-enrolled person who attends a class against the express wishes of the instructor to leave. The instructor should ask such a person to identify themselves. If the person refuses to leave, the Department of Public Safety may be called. If the person is a student enrolled in the university but not enrolled in the class, disciplinary charges may be filed.

## **10.6 Course Information**

Section 10.6 was approved by the Faculty Senate on 11/12/1996.

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.

### **10.6.1 Explicit Materials**

For sound pedagogical reasons, a faculty member may decide to use course materials that include explicit visual representations of human sexual acts. The faculty member has an obligation to inform students at the beginning of the course about the nature of that material. If a



student chooses not to view the presentation(s) and the faculty member determines that alternative assignment(s) are not feasible, the student shall be permitted to drop the course without penalty (as an administrative drop) within seven calendar days of receiving the announcement of the presentation.

## **10.6.2 Distant Sites**

Faculty should notify students at the beginning of the course that the class will be recorded or transmitted to distant sites. Faculty whose classes involve interaction through electronic means should notify their students if comments or submissions are private between instructor and student, available to other students in the class, or available to others outside the class.

## **10.6.3 Library Reserve**

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

## **10.6.4 Dead Week Resolution**

Section 10.6.4 was approved by the Faculty Senate on 4/9/2002.

Dead Week. The last week of fall and spring undergraduate classes has been designated Dead Week by the Government of the Student Body and Iowa State University for undergraduates. The intent is to provide students with time for review and preparation for final examinations. Therefore, no student organization registered with the Student Organization Office may hold meetings or sponsor events without the expressed permission of Program Coordinator or the Dean of Students Office. For academic programs, the last week of classes is considered to be a normal week in the semester except that in developing their syllabi faculty shall consider the following guidelines:

- Mandatory final examinations in any course may not be given during Dead Week except for laboratory courses and for those classes meeting once a week only and for which there is no contact during the normal final exam week. Take home final exams and small quizzes are generally acceptable. (For example, quizzes worth no more than 10 percent of the final grade and/or that cover no more than one-fourth of assigned reading material in the course could be given).
- Major course assignments should be assigned prior to Dead Week (major assignments include major research papers, projects, etc.). Any modifications to assignments should be made in a timely fashion to give students adequate time to complete the assignments.
- Major course assignments should be due no later than the Friday prior to Dead Week. Exceptions include class presentations by students, semester-long projects such as a design project in lieu of a final, and extensions of the deadline requested by students.

Instructors are reminded that most students are enrolled in several courses each semester, and widespread violation of these guidelines can cause student workloads to be excessive as students begin their preparation for final examinations.

Students are reminded that their academic curriculum is their principal reason for being in college and they have a responsibility to study in a timely fashion throughout the entire semester.

The Provost will publicize and monitor this policy each semester. In addition, the Provost will study the impact of these guidelines on student achievement and report to the university community on the findings.

## **10.7 Evaluation of Instruction**

### **10.7.1 Oral Communication Competence**

Section 10.7.1 was approved by the Faculty Senate on 5/07/1991.

The Board of Regents, State of Iowa Policy on Oral Communication Competence mandates that all faculty and teaching assistants who provide instruction to students during each relevant academic period will be evaluated for oral communication competence. In the context of this policy, oral communication competence is understood to be the ability to communicate appropriately in the language of instruction. The nature and scope of the evaluation of oral communication competence may vary with the discipline, instructional setting, and material being communicated. The following guidelines apply:

- Written standards and procedures for making the determination of oral communication competence will be developed at the departmental or program level in a collegial manner and will incorporate a mechanism for evaluation of instructors by students.
- Departments will complete such evaluations within the timeframe designated by the Regents policy, i.e., "by the end of each academic period in which [the instructor] has sufficient direct contact with students to render such evaluation meaningful."
- Procedures developed within departments must be written and implemented cooperatively by the teaching faculty and the departmental administration.
- The evaluation of oral competence need not function separately from other evaluation procedures as long as such established procedures meet the Regents requirements for timeliness and student input, and they explicitly address the matter of oral communication.
- The departmental chairs 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.

### **10.7.2 Student Outcomes Assessment**

Section 10.7.2 was approved by the Faculty Senate on 5/07/1991.

Introduction. Iowa State University endorses the philosophy of outcomes assessment stated in the National Association of State University and Land Grant Colleges' (NASULGC) "Statement of Principles on Student Outcomes Assessment." These seven principles state that programs for student outcomes assessment should do the following:

- focus primarily on the effectiveness of academic programs and the improvement of student learning and performance
- be based on incentives rather than regulations or penalties
- be developed in collaboration with the faculty
- be appropriate to the particular mission and goals of the institution
- use multiple methods of assessment
- be fiscally conservative and not impose costly programs on institutions
- be linked to strategic planning and program review processes within the institution

All outcomes assessment procedures developed within the university must be consistent with these guidelines.

Policies. Within the framework of these NASULGC guidelines and the stated mission of the university, Iowa State University adopts the following policies regarding assessment of the outcomes of undergraduate programs:

- The primary focus of the assessment process will be on ascertaining the effectiveness of academic programs and instruction and on developing methods to improve the educational process. Although data may be collected from individual students, the purpose of the assessment will not be to certify the competence or skills of particular students. The outcomes of extra-curricular activities will be assessed to the degree that they relate to academic goals.
- The results of student outcomes assessment will be an integral part of the program review and strategic planning processes.
- Assessment of attainment of general educational goals will be conducted primarily at the college level, and at the department or program level when the outcomes are clearly related to the unit's mission and goals.
- Assessment of the outcomes of academic programs (for majors, and as appropriate, minors) will be conducted at the department or program level. Assessments should use methods and procedures appropriate to the nature of the discipline, the goals of the program, and the students in the program.
- Student outcomes will be assessed prior to graduation in all programs. There may also be assessments earlier in the students' college careers and after graduation.
- Use of multiple methods of assessment and multiple evaluators is encouraged, including methods independent of specific courses. Existing sources of information should be used whenever appropriate and feasible. Because the focus of assessment is on improving the educational process, not every student needs to be assessed by every method. The assessment process, however, should include representative samples of students in the program and be conducted on a regular, continuing basis.
- Summaries of the results of the assessments will be shared with the faculty, administration, students, and other interested constituencies.

## Procedures

- Each academic program or department will develop written procedures that specify the desired educational outcomes of the program and the procedures that will be used to measure attainment of these outcomes and how the results of the assessment will be used to improve learning and instruction. Assessments should include outcomes measures specific to the program and measures of those general educational goals that are expected to be attained by all majors.
- The department or other administering unit will submit the program or department plans for assessment to the appropriate college dean for review and approval. After approval by the college dean, these plans will be forwarded to the provost for review and approval.
- Each college will develop written procedures that specify the educational goals of the college and the procedures that will be used to measure attainment of these goals and how the results of the assessment will be used to improve learning and instruction.
- The college will submit the plans for assessment of the academic program to the provost for review and approval.
- If the program is approved and funded by the Center for Teaching Excellence, the Office of Institutional Research will provide assistance in developing and conducting assessment programs. University-wide assessment studies may be conducted by the Office of Institutional Research and other offices.
- Each unit will integrate the results of its student outcomes assessment program into its program review and strategic planning processes.
- Evaluation of the policies and procedures for outcomes assessment will take place at the time of each unit's periodically scheduled program review.

## 10.8 Development of Courses and Curricula

Revisions approved by Faculty Senate on 5/5/2009 and by provost and president on 5/15/2009.

A new course or curriculum must first be approved by the department(s) or college(s) that initiate it. Changes in existing minors, certificates, or options within majors require only approval by the faculty of the offering program. If the proposed changes are related to other academic programs, documented consent of those academic programs must also be provided. Proposed curricular changes must then be approved by the college curriculum committee, and also be approved by the college faculty as designated in the respective college governance document, the Faculty Senate Curriculum Committee, the Faculty Senate, and the Board of Regents, State of Iowa (except as noted in the table below).

Action Item	Dept/College	Approval			
		Faculty Senate	Graduate Council / Graduate Dean	Provost / President	Board of Regents
<b>College/Departments</b>					
New college/department	Yes	Yes	No	Yes	Yes
Name change of	Yes	Advisory	No	Yes	Yes

college/department					
Merger of colleges/departments	Yes	Yes	No	Yes	Yes
Discontinue college/department	Yes	Yes	No	Yes	Yes

### **Majors**

New Major	Yes	Yes	Yes if graduate pgm	Yes	Yes
Name change	Yes	Yes	Yes if graduate pgm	Yes	Yes
Merged majors	Yes	Yes	Yes if graduate pgm	Yes	Yes
Discontinue major	Yes	Yes	Yes if graduate pgm	Yes	Yes

### **Undergraduate Certificates & Minors**

New certificate or minor	Yes	Yes	No	Yes	No
Name change of certificate or minor	Yes	Yes	No	Yes	No
Merged certificates or minors	Yes	Yes	No	Yes	No
Discontinue certificate or minor	Yes	Yes	No	Yes	No

### **Graduate Certificates and Minors**

New certificate or minor	Yes	No	Yes	Yes	No
Name change of certificate or minor	Yes	No	Yes	Yes	No
Merged certificates or minors	Yes	No	Yes	Yes	No
Discontinue certificate or minor	Yes	No	Yes	Yes	No

### **Concurrent bachelor/masters degrees**

New concurrent degree	Yes	No	Yes	No	No
Name change concurrent degree	Yes	No	Yes	No	No
Discontinue concurrent degree	Yes	No	Yes	No	No

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.

Curricular changes are published biennially in the University Catalog. Approved curricular changes that do not meet catalog publishing deadlines will be accessible on the University Registrar's website.

## **Faculty Handbook - 11. Revisions**

August 9, 2002 Added section [3.3.2](#) Non-Tenure-Eligible Appointments

August 9, 2002 Revision of section [5.2.1.4](#) Extension of the Probationary Period

August 9, 2002 Revision of section [7.2.2.2.2](#) Sexual Harassment

August 9, 2002 Revision of section [7.2.2.2.3](#) Racial and Ethnic Harassment

August 9, 2002 Added section [10.5.4](#) Dead Week Resolution

### **3.3.2 Non-Tenure-Eligible Appointments**

(For evaluation, renewal, and advancement policies of non-tenure-eligible appointments, see section 5.5.1)

Faculty Senate approved this policy on December 11, 2001 and the university Administration approved this policy in April of 2002. Revisions were approved by the Faculty Senate and the Administration in 2003. Further revisions approved by the Faculty Senate on January 20, 2009, and by the provost and president January 27, 2009.

### **5.2.1.4 Extension of the Probationary Period**

Section 5.2.1.4 was approved by the Faculty Senate on March 26, 2002 and by the administration on April 29, 2002.

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 interfere significantly with the faculty member's opportunity to develop the qualifications necessary for tenure in the time allowed. It is the intent of this policy to describe legitimate circumstances in which a faculty member might be granted an extension of the probationary period.

A faculty member may request an extension of the probationary period based upon such circumstances. The request for an extension should be submitted in writing to the department chair, the dean of the college, and the provost as soon as possible but no later than April 1 before the academic year in which the third-year review or tenure review is scheduled to be conducted. Requests should clearly explain the reasons for granting an extension of the probationary period and will be acted upon promptly. Requests for extension due to the birth of a child or the

adoption of a child under age five will be submitted to and approved by the chair, dean of the college, and provost. The chair, dean of the college, and provost, must approve requests based on other circumstances.

If the faculty member requests an extension, the faculty member must acknowledge that tenure cannot be claimed on the basis that the total length of employment has by then extended beyond seven years. A faculty member may be granted only two one-year extensions during the probationary period.

Scholarship accomplished by a tenure-track faculty member during an extension period shall be counted as part of a candidate's record. Standards regarding what constitutes a record deserving of tenure shall not be raised to adjust for any granted extension.

### **7.2.2.2.2 Harassing Behavior.**

Criticism and actions taken in or as a result of disagreement can be misunderstood and can result in harassment when:

- Verbal, written or physical conduct attempts to improperly influence another's academic or personal decisions with the direct or indirect threat of negative consequences if compliance does not occur;
- Verbal, written, or physical conduct is directed against another and is reasonably regarded as either abusive, intimidating, or humiliating, and substantially impairs the academic or work environment of the person against whom it is directed; or
- Verbal, written, or physical conduct intentionally encourages others, acting singly or in a group, to harass others.

### **7.2.2.2.3 Harassment.**

The policy of Iowa State University is that no member of the academic community may engage in harassment as prohibited by the University's Discrimination and Harassment policy <http://policy.iastate.edu/policy/discrimination/>.

## **10.6.4 Dead Week Resolution**

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Instructors are reminded that most students are enrolled in several courses each semester, and widespread violation of these guidelines can cause student workloads to be excessive as students begin their preparation for final examinations.

Students are reminded that their academic curriculum is their principal reason for being in college and they have a responsibility to study in a timely fashion throughout the entire semester.

The Provost will publicize and monitor this policy each semester. In addition, the Provost will study the impact of these guidelines on student achievement and report to the university community on the findings.