

# IOWA STATE UNIVERSITY

## FACULTY HANDBOOK

*August 2022*

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**Faculty Handbook Chapter 1. The Faculty Handbook.....1**

**Faculty Handbook Chapter 1. The Faculty Handbook**

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 Senior Vice President and Provost's staff and the Faculty Senate Documents 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 Senior Vice President and Provost and the Faculty Senate Governance Council. Each year the *Handbook* is updated for changes and additions in policies, procedures, and descriptive information. During the academic year, the Faculty Senate Documents 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 Senior Vice President and 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.

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

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## **Faculty Handbook Chapter 2. The University**

### **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 prohibits discrimination, which can include disparate treatment directed toward an individual or group of individuals based on race, ethnicity, sex, pregnancy, color, religion, national origin, physical or mental disability, age (40 and over), marital status, sexual orientation, gender identity, genetic information, status as a U.S. Veteran (disabled, Vietnam, or other), or other protected class, that adversely affects their employment or education. Any person who has inquiries concerning this may contact the Director of the Office of Equal Opportunity.

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](#). 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 senior vice president and provost](#) is the chief academic officer, responsible for all aspects of the university's academic mission. These include the recruitment and retention of faculty, staff, and students, and the implementation of academic program policies.

[The senior vice president for operations and finance](#) is responsible for business services, environmental health and safety, facilities planning and management, public safety, Reiman Gardens, University Museums and WOI radio group.

[The senior vice president for student affairs](#) coordinates all non-academic student services, including recruiting, orientation, registration, housing, and financial aid, and promotes student organizations, government, and recreational activities.

[The vice president for research](#) promotes research at the university.

[The vice president for extension and outreach](#) serves as the director of ISU Extension and works closely with the senior vice president and provost, the vice president for research, and the deans to integrate teaching and research with the university's extension and outreach programs.

[The vice president for economic development and industry relations](#) serves as the entry point to university expertise and capabilities related to economic development and industry needs.

[The vice president for information technology services](#) serves as principal advisor to the president on matters involving information and technology.

[The vice president for university human resources](#) works to continue advancing ISU as a premier place to work and to learn.

[The vice president for diversity and inclusion](#) works to promote a welcoming and inclusive campus environment by creating and encouraging opportunities that advance the constructive expression of divergent viewpoints.

Approved by Faculty Senate 11/8/2011; approved by president and provost 11/17/2011

## **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 term faculty members as well as all major administrative officers of the university who carry faculty appointments, except as provided in [FH Section 3.3.3](#). 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](#).

Approved by the Faculty Senate on May 4, 2010 and by the president and provost on May 24, 2010

## **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. 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 master's degree (with thesis) and to the doctor of philosophy degree. In certain fields that involve advanced study directed more specifically to vocational or professional objectives, a professional master's degree or a master's degree without thesis is available, as noted on the [Graduate College website](#).

## **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](#) 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.

College governance documents must comply with the university governance document (i.e., this Faculty Handbook), and the departmental governance documents must comply with their college governance document. In cases where conflicts exist among department, college, and university documents, the higher-level governance document prevails. The rules and regulations of higher-level documents are still in effect even if absent from the lower-level document. Language specific to the last two statements should be found in college and departmental documents.

Governance documents may contain a preamble, appendices or other attachments that provide context and additional relevant information. A preamble, if included, is for information purposes only, and is not a binding part of the governance document. Appendices or any other attachments may or may not be binding. It must be clearly stated as to whether sections outside the body of the document are binding; normally this is done in the introductory sections of the governance document.

Approved by Faculty Senate 12/6/2011; approved by president and provost 12/12/2011

### 2.6.1 Constitution of the Faculty Senate

The [\*Constitution of the Iowa State University Faculty Senate\*](#) describes the purpose, functions, organization, membership, and other elements of this representative body of the General Faculty. Changes to the 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\*](#).

### 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 publicly available through a link to a document web site provided to the Office of the Senior Vice President and Provost and the Faculty Senate. College governance documents are reviewed by the Faculty Senate Committee on College and Department Document Review (CDDR).



College governance documents should include the following items as required by the Resource Management Model (RMM):

- Each dean shall have a budget advisory council/committee with significant faculty membership, including at least one faculty senator. The governance document should describe the membership of the college's budget advisory committee.
- The dean will communicate to members of the college annually the college goals, priorities, planning, and budget.

Please refer to the Faculty Senate College and Department Document Review Committee (CDDR) for information about [college governance document requirements](#) .

Approved by Faculty Senate 1/20/2009; approved by president and provost 1/27/2009  
Approved by Faculty Senate 12/6/2011; approved by president and provost 12/12/2011

### **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 publicly available through a link to a document web site provided to the Office of the Senior Vice President and Provost and the Faculty Senate.

Please refer to the Faculty Senate College and Department Document Review Committee (CDDR) for information about [department governance document requirements](#).

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  
Approved by Faculty Senate 12/6/2011; approved by president and provost 12/12/2011

## **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 they feel 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 Senior Vice President and Provost**

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

- **Return Plan to Units**  
The senior vice president and provost may send the plan back to the affected units for further review and/or revision.
- **Reject Plan**  
The senior vice president and provost may reject the plan and terminate the process, leaving the existing unit(s) in place.
- **Submit Plan to Faculty Senate**  
The senior vice president and 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 senior vice president and provost. The Senate's review may include discussions with the faculty and/or administrators in the unit(s) and/or with the senior vice president and provost. The Senate may request further information and/or clarification from the senior vice president and provost about the plan and about their recommendation. After completing its review, the Senate will take one of two actions.

- **Return to Senior Vice President and Provost**  
It may return the proposal to the senior vice president and provost with a recommendation that they 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 senior vice president and 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 senior vice president and provost and/or appropriate dean(s) will conduct follow-up reviews of units that have undergone reorganization.

## **2.8 Policy for Renaming Academic Units**

### **2.8.1 Renaming to Modify Description of Scope of Academic Unit**

The renaming of academic units (departments, interdepartmental and interdisciplinary programs, schools, or colleges) to modify description of the academic fields encompassed by the unit is an academic activity that is part of university governance shared by faculty and administration. Renaming is carried out via a multi-step process involving discussion, planning, and review.

#### **2.8.1.1 Discussion and Planning**

The decision to begin the process of renaming an academic unit can be made by the faculty in the unit or the administrator (dean, senior vice president and provost, president) who is responsible for the unit. The goal in planning a renaming is to develop a rationale for the proposed name change and to seek input from appropriate stakeholders. The proposed renaming plan will include a suggested new name and a justification supporting the change. In the spirit of shared governance, substantial effort shall be made to include all members of the affected unit in the planning process.

#### **2.8.1.2 Faculty Evaluation and Vote**

The proposed renaming plan will be reviewed by the faculty in the affected unit and the faculty review of the plan will conclude with a vote on whether or not to recommend the name change. If the majority faculty vote is no, the plan will not go forward. If the plan involves renaming a department or school, the administrator of the unit will present the plan along with the positive vote of the faculty to the dean for consideration. The dean will add their recommendation and submit the plan (including the positive faculty vote) to the senior vice president and provost. If the plan involves renaming a college, the dean will submit the plan with the positive vote of the college faculty to the senior vice president and provost.

### **2.8.1.3 Review by Senior Vice President and Provost**

After reviewing the plan and recommendation of the dean, the senior vice president and provost may take one of the following actions:

- **Return Plan to College**  
The senior vice president and provost may send the plan back to the college for further review and/or revision.
- **Reject Plan**  
The senior vice president and provost may reject the plan and terminate the process, leaving the existing name in place.
- **Submit Plan to Faculty Senate**  
The senior vice president and provost may submit the plan to the Faculty Senate for a review with a recommendation that it be approved.

### **2.8.1.4 Review by Faculty Senate**

The Faculty Senate will review the plan as submitted by the senior vice president and provost. The Senate's review will begin in the Executive Board and may include discussions with the faculty and/or administrators in the unit. The Senate may request further information and/or clarification from the senior vice president and provost about the plan and about their recommendation. The Senate's review will conclude with an advisory vote and recommendation to the president.

Approved as amended by the Faculty Senate on 5/6/14; by the Senior Vice President and Provost on 6/1/14; and by the University President on 6/16/14.

### **2.8.1.5 Review by President**

After reviewing the plan and the recommendation of the Faculty Senate, the president may pass the recommendation on to the Board of Regents for final approval or may reject the plan.

## **2.8.2 Renaming to Reflect a Philanthropic Gift**

Appending a name to an academic unit as a result of a philanthropic gift is within the purview of the President of Iowa State University. The faculty of the unit will be informed of and provide advice to the President prior to the naming or renaming of the unit. That advisory process respects the confidential and time sensitive nature of discussions and negotiations associated with the request, acceptance, and stewardship of a major philanthropic gift to the university. In addition, the naming or renaming process shall be consistent with other policies of the Board of Regents, Iowa State University Foundation, and Iowa State University.

## **2.9 Definitions**

This section defines terminology used throughout this document.

### **2.9.1 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. When "days" are referenced regarding appeals, disputes and complaints this excludes the week of spring break; the week of Thanksgiving break; and a week within the University's winter break beginning with the official holidays in December and ending with the New Year holiday, and those days in between.

Approved by Faculty Senate (December 7, 2010); by president and provost (January 18, 2011).

Approved by the Faculty Senate 4/3/18, the Senior Vice President and Provost 4/5/18, and the ISU President 4/8/18.

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

### **3.1 Appointment Policies**

Appointments to the faculty are ordinarily made for the nine-month academic year. Twelve-month 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 12 month appointments are on duty the entire fiscal year, during which they accrue twenty-four days of paid vacation. Persons on 9 month are on duty during the academic year, and they receive no paid vacation ([FH Section 4.5.1](#)). Persons on 12 month part-time appointments are expected to maintain their responsibilities to the department, college, and university throughout the entire fiscal year. Persons on 9 month part-time appointments are expected to maintain their responsibilities to the department, college, and university throughout the entire academic year.

All nine-month faculty (with the exception of new hires in their first year) may elect the 12-month pay option to have payroll spread equally over the fiscal year, July-June.

#### **3.1.1 Summer and Winter Session Effort**

Faculty members with 9-month (academic year; August 16-May 15) appointments may be appointed for specific assignments in the Summer Session and/or Winter Session if



warranted by the needs of the department and the faculty member agrees to the appointment. These appointments, ordinarily made on a year-by-year basis, are not guaranteed except as documented in a faculty member's contract at time of appointment. Details of these appointments are described in the following sections.

### **3.1.1.1 Summer Session Effort**

Faculty members with 9-month appointments engaged in institutional activities (teaching, grant-writing, extension/outreach, service, etc.) while on summer appointment, in addition to the academic year, may be paid up to a total of eleven months from general (state) funds during the fiscal year. Regardless of funding source, summer salary is based on the individual's 9 month salary for the respective fiscal year. Summer appointments on or after July 1 are at the new academic year rate of pay.

Nine-month faculty members who teach during the Summer Session may receive pay for the session based on a collegiate policy applying a formula that may include a flat rate with incremental increases dependent on enrollment. Details of collegiate Summer Session salary policies will be communicated by the college.

### **3.1.1.2 Winter Session Effort**

Faculty members with 9-month appointments engaged in teaching during the Winter Session may do so with: 1) a corresponding reduction in their normal Spring Semester teaching load; or 2) supplemental pay based on collegiate policy. The option selected will be mutually agreed to by the faculty member and their department chair. Supplemental pay received for teaching during the Winter Session will be based on a collegiate policy applying a formula that may include a flat rate with incremental increases dependent on enrollment. Details of collegiate Winter Session salary policies will be communicated by the college. Supplemental salary received for teaching during the Winter Session does not affect the "up to a total of eleven months from general (state) funds during the fiscal year" pay policy.

Approved by Faculty Senate on 5/4/21; the Senior Vice President and Provost on 5/20/21; and the ISU President on 5/20/21.

### **3.1.2 Sponsored Support**

Faculty members with 9 month appointments who have secured sponsored support (i.e. externally funded research awards) may have salary charged during the academic year on the sponsored project – such that effort and salary charges are consistent. ([See Effort Reporting and Certification Policy in the Policy Library.](#)) To ensure compliance with the Effort Reporting and Certification Policy, charges to any federally-sourced or state sponsored project must match the effort expended. Summer research appointments on sponsored support may be paid up to a total of three summer months except for specific restrictions that may be imposed by external granting agencies.

### **3.1.3 Minimum Qualifications**

As a major land grant university, ISU maintains high standards for the qualifications of individuals hired as faculty members (tenured, tenure-eligible and term). Candidates for faculty positions are expected to have outstanding qualifications in their fields of expertise. Normally these will include the highest / terminal academic degree in the discipline and a record of accomplishments that indicates their suitability to be a faculty member. Because qualifications vary in different disciplines, each department shall have a statement of the minimum qualifications for faculty candidates. This statement shall be reviewed and approved by the college. Candidates who do not meet these minimum standards will not be considered for a faculty appointment. Each college shall have a procedure for departments to seek a waiver for a candidate who does not have the stated minimum qualifications. The Dean of the college may recommend to the Provost that a waiver be granted.

### **3.1.4 Rank and Tenure Upon Appointment**

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 may be made either for a specified term or it may be continuous, thereby granting the individual academic tenure. Initial appointment to the rank of professor must 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 senior vice president and provost.

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 FH section 3.3.1.1](#))

When the appointment will include the responsibility for teaching a course by a term faculty member, 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.

Approved by Faculty Senate 12/6/2011; approved by president and provost 12/12/2011

Approved by Faculty Senate on 4/3/2012; approved by president and provost on 4/10/2012.

Approved and revised by the Faculty Senate on 3/7/2017; approved by the senior vice president and provost on 3/10/2017; and by the ISU President on 3/15/2017.

## **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 the senior vice president and provost, the department follows university search procedures [Hiring and Employment Policy in the Policy Library](#) and [Affirmative Action in the Policy Library](#)

When a candidate has been identified for the appointment, the chair specifies the conditions of appointment in an Offer Letter.

The Offer Letter must be approved by the dean and, in the case of a tenured or tenure eligible appointment, by the senior vice president and provost. Approval must also be obtained from University Human Resources 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 electronically, indicating acceptance of the appointment and the specified conditions.

## **3.3 Types of Appointments**

Faculty Appointments are made as tenured/tenure-eligible ([FH Section 3.3.1](#)) or as term faculty ([FH Section 3.3.2](#)). Both types of appointments include ranks of assistant professor, associate professor and professor, and term faculty also include the rank of lecturer.

### **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, and notice of intent not to renew shall be given according to the deadlines specified in [FH Section 3.5](#). 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 the University's open search policy.

#### **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 12 month or 9 month 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 ([FH Section 3.4](#)). 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 senior vice president and provost. Disagreements about changes in the PRS should be handled according to ([FH Section 3.4.4](#)).

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 Faculty Senate Executive Board (November 1, 2005); Faculty Senate (December 6, 2005); Faculty Senate Executive Board (April 18, 2006); Faculty Senate (April 25, 2006); provost and president (July

11, 2006). Editing and revision approved by Faculty Senate Executive Board (December 5, 2006) and 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 Term Faculty Appointments**

Term Faculty are those individuals employed by Iowa State University who hold limited term, full, or part-time renewable appointments that are not eligible for tenure and are subject to approval by the department, college, and provost. These appointments will normally be 9 months. Term Faculty hold positions which have roles involved with the university's missions of instruction, clinical practice, research, extension, and/or outreach, and perform a range of professional duties at the university. Their responsibilities are defined in their individual Position Responsibility Statements (PRS) within the guidelines outlined in [FH Section 3.3.2.2](#). Persons holding term appointments are eligible to be named to the Graduate Faculty in accordance with Graduate College procedures. Positions that primarily perform administrative functions instead of faculty responsibilities are not permitted.

As members of the general faculty, all term faculty have full rights of academic freedom and participation in shared governance. The PRS shall not violate the faculty member's academic freedom. If the parties agree to more specific language beyond a general description of areas of position responsibilities, that specific language shall not be understood to be a checklist or constraint on the faculty member's freedom to choose areas and methods of inquiry appropriate to the discipline.

Term faculty are subject to appointment, evaluation, renewal, advancement, termination, and conduct consistent with the Faculty Handbook and with other University policies. A formal search that follows open search policy is required to fill an open term faculty position. Faculty – tenured, tenure-eligible, and/or term – shall be involved in the search process, review of applications and credentials, final recommendations for hiring, and determination of rank consistent with the department's documented standards. Circumstances under which searches do not require faculty involvement are described in [FH Section 3.1.4](#).

(For evaluation, renewal, and advancement policies of term faculty appointments, see [FH Section 5.4](#))

### **3.3.2.1 Guidelines for Term Faculty Percentages**

ISU subscribes to AAUP guidelines and standards for part-time and term faculty, including the AAUP recommendation that part-time and term faculty appointments be limited to no more than 15% of the total instruction within the university, and no more than 25% of the total instruction within any given department. An optimal term faculty teaching target should be discussed by faculty within each department, identified by each department chair in consultation with their dean, and approved by the senior vice president and provost. If the term faculty teaching target is above 25%, then a careful and clear justification should be stated. If the term faculty percent is higher or becomes higher in subsequent years than the established target, this then triggers the need for discussion among department faculty, chair, dean, and the senior vice president and provost. A Departmental Responsibility Statement must be submitted by each department chair to their respective dean once every three years which reports term faculty percentages. [Standardized departmental reporting forms are posted on the Office of the Senior Vice President and Provost's web site.](#)

Additionally, each dean must identify a healthy and optimal term faculty teaching percent target within their college based on the reports from their department chairs and with approval of the senior vice president and provost. If the average college target term faculty percent is above 20%, careful and clear justification should be stated. If the college term faculty percent is higher or becomes higher in subsequent years than their established target, then this triggers evaluation and discussion among the college faculty caucus, the dean of that college, and the senior vice president and provost. A College Responsibility Statement shall be submitted by each dean to the senior vice president and provost once every three years. [Standardized College reporting forms are posted on the Senior Vice President and Provost's web site.](#)

Each department and college should report the maximum percentage of all student credit hours (SCH), section credits (SC), or course sections (CS) instructed by term faculty. Every three years, the senior vice president and provost shall provide the College Responsibility Statements to the FDAR council including any justification or explanation for review. Additionally, the senior vice president and provost shall continue to keep the Faculty Senate apprised of department, college, and university term faculty percentages annually. Optimal target for each department and college should be included in this annual report to the Faculty Senate.

Amended and approved by the Faculty Senate on 4/21/15; by the Senior Vice President and Provost on 6/16/15; and by the ISU President on 7/20/15.

Amended and approved by Faculty Senate (April 10, 2007).

Revised and approved by Faculty Senate (January 15, 2008); by provost and president (January 23, 2008).

Approved by Faculty Senate (March 8, 2011); by provost and president (March 22, 2011).

### **3.3.2.2 Titles for Term Faculty Appointments**

Departments shall appoint term faculty using one of the following titles, appropriate to the faculty member's discipline, and that reflects the nature of the work done by the term faculty member. Term faculty rank appointments will be based on the faculty member's

documented professional and academic experience and performance. Advancement for all term faculty shall follow the policy described in [FH Section 5.4.1.3 Review for Advancement](#).

- **Teaching Faculty Title and Ranks:** Lecturer, Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor. Teaching faculty hold positions through which they generally contribute to the teaching mission of the university. All Teaching faculty must devote at least 75% of their time to instruction, advising, curriculum coordination and other responsibilities related to the teaching mission. In addition, such appointments may include scholarly achievement and institutional or professional service, or any other responsibilities as identified in the PRS. The title of Lecturer is used for early career teaching faculty with contracts of one year or less, while Assistant Teaching Professor is for teaching faculty on multi-year contracts who have not advanced in rank.
- **Practice Faculty Title and Ranks:** Assistant Professor of Practice, Associate Professor of Practice, Professor of Practice. Professor of Practice faculty must have significant relevant professional experience outside of academia that qualify them to make a contribution to instruction and/or advising. All Professor of Practice faculty must devote at least 75% of their time to teaching in their area of expertise and related institutional and professional service. In addition, such appointments may include scholarly achievement and institutional or professional service, or any other responsibilities as identified in the PRS.
- **Clinical Faculty Title and Ranks:** Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor. All Clinical faculty must devote at least 75% of their time to providing or overseeing the delivery of professional services to individual patients or clients, and to teaching students, residents, or fellows of the university at the undergraduate, graduate, professional, or postgraduate level. They are expected to integrate the delivery of their professional services with their teaching. While the use of Clinical faculty titles is most easily conceived in the context of the College of Veterinary Medicine, where faculty are involved in the delivery of professional services to patients and clients, there are other disciplines where the use of Clinical titles for similar purposes may be appropriate.
- **Research Faculty Title and Ranks:** Research Assistant Professor, Research Associate Professor, Research Professor. Research faculty must devote at least 80% of their effort to externally-funded research, and they must have opportunity to move toward research independence. At least 10%, but no more than 20% of research faculty salary shall be paid from the general fund. In order for research faculty to be eligible for re-appointment, they must demonstrate research and scholarly productivity commensurate with tenure-stream faculty of the same rank, and must demonstrate independence as appropriate for their rank in their field. Since research professors are expected to obtain the majority of their funding from external sources, the term appointments for research professors must be contingent upon the availability of external funding. However, if a term faculty research professor needs to be terminated before the end of their contract due to insufficient

funding, the term-faculty member will be given a 3-month notice of the termination. During the 3 months, the faculty member's college will be responsible for covering any portion of the faculty member's salary not covered by external research grants or the faculty member's incentive account.

- Adjunct Faculty Title and Ranks: Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct faculty typically are not focused on one area of faculty responsibility such as teaching or clinical activities. Appointments under this category may be appropriate in facilitating 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 extramural grants and contracts.

### **3.3.2.3 Ranks and Lengths of Term Faculty Appointments**

The initial appointment of a term faculty member at any rank may be made from one semester to the limits outlined below by rank. At the conclusion of the initial term, reappointments must follow the guidelines outlined below by rank with an exception for practice track faculty as noted in the next paragraph.

Many professor of practice track faculty are working or retired professionals, who are hired to teach a specific course (often just one) to share their professional expertise with students. Accordingly, practice track faculty may be appointed for terms of one semester up to the maximum length allowed by rank below, regardless of previous employment history at ISU.

Term faculty at the assistant/lecturer rank – The assistant/lecturer rank is for faculty who have the potential to contribute significantly to the mission of the university as defined in their PRS. Additional specifications related to this rank are listed below.

- Lecturers are appointed for a term up to one year; however, after a lecturer has completed three academic years of continuous employment they will transition to a term assistant teaching professor if renewed. Time in rank as a lecturer counts toward advancement to the associate rank and towards multi-year contracts as term assistant professors.
- Term assistant professors are appointed for a term of from one to three years; however after a term assistant professor has completed three academic years of continuous employment at rank their term will be from two to three years.
- Assistant professors of practice may be appointed for terms of one semester up to three years.
- These appointments require a notice of one year of intent not to renew except when the appointment is only for one year or less, in which case a notice of three months is required.

Term faculty at the associate rank – The associate rank denotes a record of successfully contributing to the mission of the university as defined in the PRS or a record of contributions in the professional field and promise of further academic and professional development. Additional specifications related to this rank are listed below.



- Term associate professors are appointed for a term of from three to five years. Shorter terms may only be issued under exceptional circumstances with approval of the Provost.
- Associate professors of practice may be appointed for terms of one semester up to five years.
- These appointments require a notice of one year of intent not to renew except when the appointment is only for one year or less, in which case a notice of three months is required.

Term faculty at the professor rank – The professor rank is appropriate for term faculty who have proven their excellence in the primary responsibilities identified in their PRS, and effectiveness in any other areas of their PRS, or who have demonstrated substantial contributions to their professional field. Additional specifications related to this rank are listed below.

- Term professors are appointed for a term of from three to seven years. Shorter terms may only be issued under exceptional circumstances with approval of the Provost.
- Professors of practice may be appointed for terms of one semester up to seven years.
- These appointments require a notice of one year of intent not to renew except when the appointment is only for one year or less, in which case a notice of three months is required.

Amended and approved by the Faculty Senate on 11/10/20; by the Senior Vice President and Provost on 11/19/20; and by the ISU President on 11/19/20.

### **3.3.2.4 Role in Governance of Term Faculty**

As part of the general faculty, term faculty participate in faculty governance as defined by the Faculty Handbook. All term faculty shall have a departmental home and a Position Responsibility Statement (PRS). Each department hiring term faculty shall include provisions defining instructional responsibilities, search and appointment processes and review, renewal and advancement procedures in its governance document consistent with the Faculty Handbook.

### **3.3.3 Non-salaried Faculty Appointments**

#### **3.3.3.1 Affiliates**

An affiliate faculty member is not an employee of the university. Affiliate appointments are unpaid, usually part-time appointments granted to persons who are typically employed elsewhere and who provide academic service to the university in furtherance of the research or graduate education mission of the university. In some instances the affiliate appointment formally recognizes services provided to the university as per a cooperative agreement with another governmental agency (e.g., USDA). Faculty rank will reflect scholarly qualifications equivalent to those of similar rank in the department.

Recommendation for the appointment is initiated within an academic department and must be approved by the faculty, department chair, and dean. Appointments may be made

for a term of up to five years, and renewal is possible. The conditions of the appointment, including the extent to which the department will provide support services for the individual, are stated in a written Affiliation Agreement signed by both parties at the time of the appointment (this is in lieu of a Position Responsibility Statement). An affiliate is not considered to be tenured, and time spent in affiliate status is not considered to be service in a probationary period leading toward tenure.

As a non-employee, an affiliate faculty member cannot be the instructor of record for a class. Furthermore, as a non-employee they may not be assigned research duties or responsibilities that would ordinarily be carried out by a person in a P&S or Post-Doctoral position. If a department desires to assign such responsibilities to a person on an affiliate appointment, that person's appointment status shall be converted to an appropriate status by following the university's procedure for filling a faculty or P&S position.

Persons on affiliate appointments are subject to university and faculty policies.

Approved by the Faculty Senate on April 19, 2016; the Senior Vice President and Provost on May 2, 2016; and the ISU President on May 3, 2016.

### **3.3.3.2 Professional and Scientific (P&S) Term Faculty Appointments**

A person employed in a Professional & Scientific (P&S) position may also be appointed to term faculty 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. When the faculty work undertaken is similar to that of a department's Term Faculty, the correlating appropriate title may be used in accordance with [FH Section 3.3.2.2](#) and [FH Section 3.3.2.3](#). 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.

### **3.3.4 Visiting Appointments**

A visiting appointment can be unpaid or paid.

An unpaid, visiting faculty appointee is not an employee of the university. The visiting appointment is ordinarily made to allow an academic, while in residence at Iowa State, to provide special input into the teaching or research program of any Iowa State academic department. An unpaid, visiting appointee cannot be the instructor of record for a class. Normally the visitor is employed elsewhere, usually as 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. Recommendation for the appointment is initiated within an academic department and must be approved by the faculty, department chair, and dean. The initial term of an unpaid visiting appointment is

one year or less, with renewal possible for a second and final year. No notification of intent not to renew is required.

A paid, visiting faculty appointee is an employee of the university. Generally the visitor is performing services such as teaching at Iowa State. If the visitor is employed as a member of the faculty of another institution then the rank offered at ISU should be similar to the rank held at the home institution. Recommendation for the appointment is initiated within an academic department and must be approved by the faculty, department chair, and dean. An employment background check is required for paid, visiting appointments. The initial term of a paid visiting appointment is one year or less, with renewal possible for a second and final year. No notification of intent not to renew is required. 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. 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. Persons holding a paid visiting appointment of one-half time (.5 FTE) or greater and for nine months duration may, at their option, participate in the university's benefits program.

Persons holding either unpaid or paid visiting appointments are subject to university and faculty policies.

Approved by the Faculty Senate on April 19, 2016; the Senior Vice President and Provost on May 2, 2016; and the ISU President on May 3, 2016.

### **3.3.5 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 an Offer Letter signed by the chairs of both departments and the dean or deans of the college(s) involved and the senior vice president and 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.

### **3.3.6 Faculty Titles No Longer Allowed for New Appointments**

The title continuous adjunct was employed in the past to extend certain adjunct appointments beyond seven years and subject to termination only for adequate cause ([FH Section 7.2](#)), elimination of academic programs ([FH Section 3.5.2.2](#)) or financial exigency ([FH Section 3.5.2.3](#)), 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 be equitable with other faculty making similar contributions.

The titles Senior Lecturer, Clinician, and Senior Clinician were used in the past for some term faculty appointments. No new appointments may be made using these titles.

Amended and approved by the Faculty Senate on May 1, 2018; the Senior Vice President and Provost on July 19, 2018; and the University President on July 25, 2018.

## **3.4 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.

### **3.4.1 General Description**

A position responsibility statement (PRS) is a tool that describes the range of responsibilities undertaken by a faculty member. The PRS is written and approved by both the faculty member and the department chair. Because responsibilities and duties change throughout faculty careers, the PRS shall be reviewed and updated as necessary at intervals appropriate to the stages of faculty career development. Thus the PRS allows for a flexible and individualized system of faculty review. The PRS shall not prevent or constrain justifiable changes to or developments within any area of a faculty member's position responsibilities. The PRS description itself should be general and include only the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments especially in the promotion and tenure process for tenure-eligible/tenured faculty or for advancement for term faculty.

The PRS shall not violate the faculty member's academic freedom. If the parties agree to more specific language beyond a general description of areas of position responsibilities, that specific language shall not be understood to be a checklist or constraint on the faculty member's freedom to choose areas and methods of inquiry appropriate to the discipline.

Because it outlines the expectations for faculty members in carrying out their duties in accordance with Iowa State University's public land-grant university mission, the PRS shall be understood to be a public document.

### **3.4.1.1 Appointment Requiring a PRS**

All faculty members with appointments governed by the *Faculty Handbook* as defined in [FH Section 3.3](#) shall have a PRS. University administrators generally have faculty rank. If a university administrator has significant non-administrative responsibilities (especially research/creative activity, teaching, or outreach) carried out within an academic department of the university, they shall have a PRS appropriate to their duties in that department. Department chairs will have a PRS, written by the department chair and the dean, describing the administrative and other departmental responsibilities of the position.

### **3.4.1.2 Intended Use of the PRS**

As noted in [Chapter 5 \(Evaluation and Review\)](#), the PRS is a tool referenced during all forms of faculty review. The PRS is particularly significant within the promotion and tenure process of tenure-eligible/tenured faculty or for advancement of term faculty. The PRS 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.

## **3.4.2 The Form of the PRS**

### **3.4.2.1 Required Elements**

Every PRS should be a brief document and must include the following information:

- Name of faculty member and nine or twelve month appointment
- Title
- Primary department (tenure home)
- Secondary department (if applicable)
- Description of areas of position responsibility
- Signatures of the faculty member and department chair(s)
- Signature date
- Formal review date

Colleges may require additional statements or information to clarify the nature of faculty position responsibilities.

### **3.4.2.2 Individualization of Areas of Position Responsibility**

Faculty responsibilities in a land-grant university are diverse. Examples of areas of position responsibility common to many faculty include, but are not limited to: teaching, research/creative activity, extension, outreach, professional practice, clinical practice, professional service, and institutional service. The description of areas of position responsibility in the PRS should include whichever areas of position responsibility are applicable to the faculty member.

Because the PRS is used in evaluation, the goal of the PRS is to provide an individualized description of the expected responsibilities of each faculty member. To this end, the PRS

will include a brief narrative describing the position responsibilities along with indication of the expected distribution of those responsibilities (e.g., expected proportion of effort or relative importance). Different faculty members have different ranges of duties and responsibilities. The PRS's description of the distribution of areas of position responsibility should reflect how the faculty member's distribution compares to those of other faculty in the same department or college. (For example, a faculty member who teaches six classes has a greater expected proportion of effort for teaching than a faculty member who teaches one class. With the greater assignment of teaching responsibilities, the evaluator gives greater weight to teaching for the faculty member with the greater number of classes, in accordance with evaluation procedures.) The responsibilities and their distribution should be compatible with satisfying or exceeding the expectations for promotion and tenure or advancement.

### **3.4.3 Procedures for Establishment and Maintenance of the PRS**

#### **3.4.3.1 Procedures at Initial Appointment**

Within six weeks of the first day of work, the chair and the new tenure-eligible/tenured faculty member should agree on a PRS that is based on the job advertisement. Tenure-eligible/tenured faculty are expected to have substantive discussions with their chair in establishing their PRS. Term faculty will generally have an initial PRS with a narrower scope of duties. Upon initial appointment, most term faculty will sign a PRS indicating the specific duties for which they are hired. In all cases, the PRS will be signed and dated by both parties. The signed and dated copy will be on file in the faculty member's Workday profile.

##### **3.4.3.1.1 Joint Appointments**

In the case of faculty members who have appointments in two departments (or a department and a program), a PRS 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. For tenure-eligible/tenured faculty, the PRS will specify the primary department in which the faculty member's tenure resides or in which a tenure decision will be made. Because evaluations of faculty initiate in their primary department, changes and updates to the PRS will initiate in that primary department. Faculty members with joint appointments are expected to communicate with the chair in their secondary department or program to maintain a PRS signed by all three parties.

##### **3.4.3.2 Review and Update of the PRS**

The PRS will be subject to regular review by the faculty member and their chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments and faculty circumstances. Faculty members and their chairs may discuss the PRS and modify it (if appropriate) at any time. [FH 5.1.1.2](#) states that review of the PRS is to occur during the annual review meeting between the faculty member and the chair. The PRS should not be rewritten unless there is the expectation of a substantive change in the

faculty member's position responsibilities. The PRS cannot be changed unilaterally by either the chair or the faculty member.

### **3.4.3.2.1 Formal Review of the PRS**

Every PRS shall specify a date for formal review. The review date should correspond with major action reviews for tenure-eligible/tenured faculty (preliminary review, promotion and tenure review, post-tenure review) and with renewal for term faculty. During or immediately after the formal review, even if no changes are made, the PRS shall be updated with a new formal review date and signed and dated by both parties. The faculty member's department(s) and college(s) shall receive a copy of the updated PRS with signatures. Department governance documents may specify more frequent intervals for formal review of PRSs, but departments are prohibited from conducting formal reviews less frequently than the intervals here specified.

### **3.4.4 Procedures for Mediating PRS Disputes**

When both parties (the faculty member and the department chair) agree to the PRS, it will be signed by both parties and dated. However if 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 three faculty members at equal rank or higher than the faculty member whose PRS is being disputed. Each party shall select one member of the panel. Unless the department decides otherwise, the default policy for selecting the third member will be by faculty election in the department at the beginning of each year.<sup>1</sup> 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 days ([See FH Section 2.9.1 defining 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 PRS will remain in effect.

<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.

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

Approved as amended by the Faculty Senate 11/10/15; by the Senior Vice President and Provost on 11/19/15; and by the ISU President on 11/30/15.

## **3.5 Nonrenewal and Termination of Appointments**

### **3.5.1 Nonrenewal and Termination of Term Appointments**

#### **3.5.1.1 Nonrenewal of Term Faculty Appointments**

The time by which notice of intent not to renew a term faculty appointment varies by rank and is specified in [FH Section 3.3.2.3](#).

#### **3.5.1.2 Nonrenewal of Appointments of Tenure-Eligible Faculty**

Written notice that a tenure-eligible faculty member is not to be renewed shall be given to the faculty member at least twelve months in advance of the expiration of the appointment. 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 they believe may be relevant and helpful to their 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 they request it, shall be given a statement of reasons in writing. A faculty member who is denied reappointment can secure a review of the decision either through administrative channels or the Faculty Senate Committee on Appeals 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.

Financial exigency or academic program elimination *per se* are not valid reasons for nonrenewal of tenure-eligible appointments. In case of academic program elimination or the declaration of financial exigency, the guidelines and procedures for the termination of tenure-eligible faculty appointments are described in ([FH Section 3.5.2](#)).

#### **3.5.1.3 Termination of Term Faculty Appointments Due to Elimination of Academic Programs and Financial Exigency**

Termination means the ending of a term appointment before the expiration of the appointment term. Whenever [FH Section 3.5.2.2](#) or [FH Section 3.5.2.3](#) are invoked, faculty



on term appointments can be terminated for these same reasons upon the giving of the following advanced written notice:

- three months for faculty on one-year appointments;
- six months for faculty on two year appointments; and
- one year for faculty with appointments of more than two years.

During the period of appointment, faculty on term appointments will be given a written statement of reasons for termination and an opportunity to appeal involuntary termination using the procedures described in [Chapter 9 of the Faculty Handbook](#).

### **3.5.2 Termination of Tenured Faculty, Tenure-Eligible, and Continuous Adjunct Faculty**

The appointment of tenured faculty, tenure-eligible, and adjunct faculty with continuous appointments may be terminated for adequate cause, the elimination of an academic program, or financial exigency. Additional reasons for which adjunct faculty with continuous appointments may be terminated are found in [FH Section 3.3.6](#). The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances. The procedures governing any termination must conform in all respects to the requirements of due process.

#### **3.5.2.1 Termination of Appointments Due to Adequate Cause**

[FH Chapter 7](#) provides a process for termination of faculty appointments for adequate cause.

#### **3.5.2.2 Termination of Appointment Due to Elimination of Academic Programs**

The rationale for the elimination of an academic program must be based primarily on academic or educational reasons (e.g., long-term decline in number of majors or graduates, loss of accreditation, centrality to mission of university) as determined primarily by the faculty or an appropriate committee thereof ([see FH Section 10.8](#)). Alternatives to eliminating academic programs should first be considered. These include (1) merging similar programs, (2) refocusing an existing program, and (3) reducing the size of the program.

The appointment of a tenured or continuous adjunct faculty member may be terminated as a result of elimination of programs for academic reasons, when such discontinuance has been approved by the Faculty Senate, the president of the University, and the Iowa Board of Regents (in accordance with the Board of Regents program discontinuance procedures). An academic program normally means an undergraduate or graduate major approved for a bachelor or graduate degree by the Faculty Senate, president, and Iowa Board of Regents ([FH Section 10.8 Development of Courses and Curricula](#)).

After the Senate has voted to eliminate an academic program, an *ad hoc* committee will be formed for the discontinued program to determine which faculty are associated with it. This committee will consist of four faculty appointed by the president of the Faculty Senate in consultation with the Executive Board, as well as a representative of the Office of the Senior Vice President and Provost. At least two of the four faculty members must be sitting Faculty Senators, and no member may hold an appointment in the discontinued academic program or a department through which it was offered. If the majority of the faculty member's teaching duties are in an academic program where teaching duties are defined as teaching undergraduate or graduate courses, serving as a major professor, and undergraduate advising, the faculty member will be considered to be associated with that program. Faculty members who have teaching duties in two or more academic programs may be able to transfer to a continuing program if one of the programs with which they are associated is discontinued. For faculty who have continuous appointments that are not associated with an academic program (e.g., in Extension), the elimination of their unit can result in the potential termination of their appointments, using the same process outlined in this policy.

After the discontinuance of an academic program has been approved by the Board of Regents, faculty members associated with it holding continuous appointments will be given formal notice that their appointments may be terminated.

- If a department has more than one academic program, faculty associated with an eliminated program will be placed in another academic program in that department if that can be reasonably done. When transferred to another academic program within a department, the faculty member retains their rank, tenure status, and salary. If this transfer is not reasonable, a good-faith effort must be made to place an affected faculty member in an academic program outside the department where their professional services can be used effectively.
- If placed in an academic program outside their department, their rank and tenure status will be retained and compensation provided commensurate with that placement. The duties of a faculty member placed in another academic program do not have to be identical to those in the eliminated program. Whenever such a placement is made, a new Position Responsibility Statement will need to be developed.

At a minimum, the following are required for a good-faith effort:

- The university and the faculty member must make a concerted effort to find a suitable position for the affected faculty member in an academic program in the same or another department.
- If a move to another academic program would be facilitated by a reasonable period of retraining, university support would be provided.
- If no suitable position can be found, the faculty member will be given formal notice of a terminal one-year appointment, or a mutually agreeable severance package.

- If the same or equivalent position held by a faculty member whose appointment has been terminated is created in the next three years in any academic program or unit, the terminated faculty member will have the right of first refusal of this position.

A faculty member may appeal a proposed transfer or termination resulting from the elimination of an academic program; that is, they have a right to an appeal as described in ([FH Chapter 9](#)). In such an appeal, the rationale for the elimination of an academic program cannot be considered or challenged. Appeals may be based on (1) how a determination was made that a faculty member's appointment was associated with the eliminated major; (2) whether the criteria for termination were properly applied in the individual case; and (3) the lack of the university's good faith effort to transfer the faculty member to another program.

### **3.5.2.3 Termination of Appointment of Financial Exigency**

The appointment of a tenured, tenure-eligible, or continuous adjunct faculty member may be terminated in case of financial exigency that is demonstrable and bona fide and declared by the Iowa Board of Regents.

In any circumstance where the president recommends, or is asked to recommend, to the Board of Regents whether financial exigency should be declared, the president (prior to making the recommendation) shall confer with the Faculty Senate and relevant administrative units on the questions: Does a financial exigency exist? Are there any the reasonable alternatives to declaring financial exigency? What will be the long-term impact on the institution of such a declaration? If the Faculty Senate disagrees with the president's recommendation, the Faculty Senate's view shall be sent to the Board of Regents for timely consideration by the Regents.

Upon the declaration of financial exigency, if faculty positions will be affected, the senior vice president and provost shall develop a process for involvement of the Faculty Senate and relevant administrative units in the development of a reduction plan. The Faculty Senate shall consider matters of educational policy, impact on the faculty and faculty status, and make timely recommendations to the senior vice president and provost on reductions.

When the reduction plan has been adopted, faculty with tenured, tenure-eligible and continuous adjunct appointments that will be terminated shall receive notice not less than twelve months prior to the effective date of termination.

The university and faculty member are expected to make a reasonable effort to transfer each tenured, tenure-eligible or continuous adjunct faculty member whose position has been proposed for elimination to another college or department where their professional services may be used effectively. Reasonable efforts to identify alternative academic homes for potentially affected faculty will begin as part of the development of the reduction plan, and will continue for individual faculty members who have been given notice of termination through the notice period. If the same or equivalent position held by a faculty member whose appointment has been terminated is created in the next three years in any

academic program or unit, the faculty member affected will have the right of first refusal of this position.

Faculty members may appeal actions affecting their appointments for reasons of financial exigency as described in ([FH Chapter 9](#)).

Approved by Faculty Senate (May 4, 2010); by executive vice president and president (May 24, 2010)

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

### **4.1 Salary Policies and Procedures**

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 senior vice president and 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 their 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.

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

#### **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 Term Research Appointments**

Funding of direct salary and benefits is described in [FH Section 3.3.2.2](#). "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.

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 [Benefits Office in University Human Resources](#) 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 UHR as payroll procedures are administered there. Child Care, Employee Assistance and Training and Development programs are also described on their web pages. The [Personnel and Human Relations section of the Policy Library](#) contains benefit-related policies.

## **4.3 Retirement Programs**

### **4.3.1 Phased Retirement Program**

Faculty members who have attained age 57 and have at least 15 years of consecutive 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 [Phased Retirement section of the Policy Library](#) or from the [Benefits Office in University Human Resources](#).

### **4.3.2 Other Retirement Programs**

The [Benefits Office in University Human Resources](#) provides the latest information on current retirement programs.

### **4.3.3 Post Retirement Employment**

Faculty members who have retired may be rehired by the university to fulfill defined responsibilities such as offering instruction or participating in specific research projects. [See Post Retirement Employment in the Policy Library](#).

## **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 their 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 should take effect the last day that the individual will be on duty. If circumstances require that a faculty member with a twelve month appointment resign

before they have 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 faculty member with a 9 month appointment will ordinarily be effective as of May 15 of the current academic year.

## **4.5 Leave Policies**

Faculty Professional Development Assignments and other faculty development programs that may involve absence from campus for a period of time are considered faculty development opportunities, [see Professional Development Opportunities as listed under the Office of the Senior Vice President and Provost.](#)

Other leave programs are listed under [University Human Resources.](#)

### **4.5.1 Vacations and Holidays**

Twelve-month 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.

Faculty with a 9-month appointment do not accrue vacation. They are required to be on duty during the fall and spring semesters on those days when classes are in session 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. Faculty with a 9 month appointment may arrange their responsibilities so that they are absent from campus for personal reasons for limited periods when classes are in session during the fall and spring semesters. 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.) See [Vacation Leave in the Policy Library](#) and [Holidays in the Policy Library](#) policies.

Section 4.5.1 was approved by the Faculty Senate Executive Board on 2/08/91. Amended and approved by the Faculty Senate on 5/4/21; the Senior Vice President and Provost on 5/20/21; and the ISU President on 5/20/21.

### **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. Twelve month 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 [Sick Leave section of the University Policy Library](#).

### **4.5.3 Leave of Absence without Pay**

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, and senior vice president and provost.

The 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. See [Leave of Absence without Pay policy in the Policy Library](#) and the [Family Leave section of the Family and Medical Leave Act \(FMLA\) policy in the Policy Library](#).

### **4.5.4 Pregnancy 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, they will, at their 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 [Benefits Office in University Human Resources](#).

### **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 9 month personnel should schedule annual military leave during the summer months, when they are not on university duty.

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### Faculty Handbook Chapter 5. Evaluation and Review

#### 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  
Faculty Senate Executive Board (9/18/98)  
Approved by the Faculty Senate (10/13/98)  
Approved by 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

Reflecting the land-grant mission of Iowa State University, faculty engage in teaching, research/creative activities, extension/professional practice, institutional service, and/or other areas as designated by their PRS. All faculty have the responsibility of furthering high-quality programs and initiatives and are fully accountable for their performance of these responsibilities. Iowa State University provides intellectual and institutional leadership regarding equity, diversity and inclusion and strives to be a welcoming, inclusive environment of mutual respect for its members of all backgrounds and identities, consistent with a key institutional strategic goal. All faculty are encouraged to engage in equity, diversity and inclusion initiatives that advance the land-grant mission of Iowa State University and to document and acknowledge these activities.

##### 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
- advancement review of term faculty
- post-tenure review
- renewal review

Approved by the Faculty Senate on 1/26/21; the Senior Vice President and Provost on 1/29/21; and the ISU President on 1/29/21.

### **5.1.1.2 Annual Reviews**

All faculty members (tenured, tenure-track, term, whether fulltime or part-time) will be evaluated annually (January 1 to December 31) for performance appraisal and development on the basis of their position responsibility statement ([FH section 3.4](#)). The evaluation is based on scholarship and contributions in teaching, research/creative/innovation activities, extension/entrepreneurship/professional practice, and institutional service as indicated in each individual's position responsibility statement. Each faculty member's overall performance shall be evaluated as either satisfactory or unsatisfactory ([FH section 4.1.1](#)). The annual evaluation will serve as a basis for determining merit salary increases.

The annual faculty evaluation process is the responsibility of the department chair. In some departments, the associate/assistant chair or a designated review committee has a role in the evaluation process. Department chairs will follow the annual evaluation process as outlined in their departmental governance document.

The departmental governance document shall specify the process by which the faculty member will provide evidence about their performance in the areas of their position responsibilities for the year under review. Failure by a faculty member to comply with that process will, except in extenuating circumstances, result in an unsatisfactory annual evaluation. For tenured faculty two consecutive unsatisfactory annual performance evaluations trigger a Post Tenure Review ([FH Section 5.3.4](#)), and for all faculty may also result in a charge of unacceptable performance as defined in the Faculty Conduct Policy ([FH Section 7.2.2.6.1](#)). Evaluation of faculty will be in accordance with their Position Responsibility Statement and their percentage of appointment.

The annual evaluation meeting between chair and faculty member provides an opportunity for an exchange of ideas of benefit to the individual and the department. The annual evaluation meeting includes a review of the faculty member's position responsibility statement and any action plans from the previous post-tenure review or annual performance evaluation.

The annual evaluation process is finalized in a written document that is prepared by the department chair and signed by both chair and faculty member. The report should include an evaluation of each area of the position responsibility statement as well as an overall summary assessment. It is the responsibility of the department chair to ensure that the evaluation is finalized in a timely manner and by the university deadline. The faculty member signs the evaluation as an acknowledgement of receipt, not as an endorsement of the evaluation.

A faculty member who disagrees with the evaluation may submit a written statement of concerns that will be appended to the evaluation. The faculty member may also appeal the evaluation through the established grievance procedures ([FH section 9.1](#)).

Amended and approved by the Faculty Senate on 2/12/13 and 5/3/22, by the Senior Vice President and Provost on 2/23/13 and 5/13/22; and the ISU President on 3/6/13 and 5/13/22.



### **5.1.1.2.1 Action Plan**

In the case of an unsatisfactory annual evaluation, the department chair, with the input of the faculty member, will develop an action plan to guide improved performance in accordance with the faculty member's position responsibility statement. The action plan must include the following elements: 1) a list of action items to be accomplished that are detailed, clear, and aligned with a timeline; 2) a specified date for a mid-term evaluation; and 3) a description of consequences if the action items are not completed by the designated timeline.

Approved by the Faculty Senate on 2/12/13, by the Senior Vice President and Provost on 2/23/13 and the ISU President on 3/6/13.

### **5.1.1.2.2 Initiation of Action Plan Mediation**

In the case of disagreement with an action plan resulting from an unsatisfactory annual performance evaluation or a below expectations post-tenure review, the faculty member or chair will notify the department action plan mediation committee within 10 working days from the date the faculty member received the written action plan that the mediation process will be initiated.

#### **5.1.1.2.2.1 Purpose of the Action Plan Mediation Committee**

The committee's sole purpose is to examine the disputed parts of the action plan and offer a recommendation that may resolve the dispute. The committee is not to re-evaluate the faculty member, the process by which annual and post-tenure reviews are conducted, or to formulate a new action plan. The committee, after performing required tasks as set forth below, may recommend changes in specific action plan items in dispute.

#### **5.1.1.2.2.2 Outcome of Review by an Action Plan Mediation Committee**

Once the committee has completed its review and provided a recommendation, the role of the committee in the dispute process is complete. Any recommendations provided by the committee are non-binding. The faculty member and chair are to review and discuss the recommendations and attempt to reach a resolution on the action plan. The committee plays no role in these discussions nor will the committee be provided any information on the outcome. If an agreement between the faculty member and the department chair cannot be reached within five working days of receipt of the committee's recommendations, the matter will be forwarded by the party disagreeing with the proposed action plan to the dean of the college for a final decision. The dean's decision is binding.

#### **5.1.1.2.2.3 Selection of the Action Plan Mediation Committee**

Selection procedures for committee membership are defined in the college governance document. To promote a fair process and avoid potential conflicts of interest, the following restrictions apply. Faculty members involved in the review that led to the disputed action plan are ineligible to serve on the action plan mediation committee. A faculty member is ineligible to serve on the action plan mediation committee when they: 1) are in the process

of mediating their own action plan, 2) are currently a respondent in a faculty misconduct case, 3) have received an unsatisfactory annual review or below expectations post-tenure review in the past cycle, or 4) have a conflict of interest or commitment as defined by the ISU Policy Library or Faculty Handbook related to the mediation. Other potential conflicts of interest will be reviewed by the dean of the college on a case by case basis.

#### **5.1.1.2.2.4 Action Plan Mediation Committee Review Process**

The faculty member will submit to the action plan mediation committee a written document describing the disputed elements of the action plan and any proposed changes. The chair will submit to the committee the proposed action plan, the annual performance review or post-tenure review report on which the action plan is based, the faculty member's submitted performance evaluation materials, the faculty member's PRS, the faculty member's vita, and a written explanation of why the faculty member's proposed change(s) in the action plan are not acceptable. These materials will be sent to the committee within five working days of the dispute being forwarded for mediation. These would be the same five working days to elect substitute committee members, if needed. If either party fails to deliver materials within the five working days, the committee will still convene and begin their process.

The action plan mediation committee will review the submitted materials, meet with both parties, meet with any other party deemed pertinent to the disputed items, and deliberate on the issues. The committee will deliver a written recommendation in a memo, signed by the entire committee, on how the disputed elements of the action plan should be resolved to the department chair and faculty member within ten working days of receipt of the review materials. Travel, busy schedules, or other normal faculty duties are not acceptable reasons to delay the mediation process. Video or in-person meetings and deliberations will carry equal weight, and technology should be used for meetings to ensure timely handling of the dispute. The committee will complete their assessment and written recommendation regardless of the responsiveness of the disputing parties.

#### **5.1.1.2.2.5 Timeline of the Action Plan Mediation Process**

To initiate the action plan mediation process, the department action plan mediation committee will be notified within ten working days from the date the faculty member received the written action plan.

As outlined above, the action plan mediation process is set to occur within twenty working days as follows:

- Five working days for disputing parties to deliver relevant materials to committee. This time will also be used to replace, by faculty election, committee members, if needed.
- Ten working days for the committee to meet with the disputing parties (and others as needed), evaluate materials, and deliver a written recommendation in a memo signed by the entire committee.

- Five working days for the disputing parties to consider the recommendations of the committee and either agree or forward the dispute to the dean.

#### **5.1.1.2.2.6 Prior Action Plans**

The action plan mediation committee shall not consult any action plan(s) already in place for the faculty member under review. When the mediation process is concluded, the department chair or dean (for those cases decided by the dean) shall integrate multiple action plans into a single plan for the faculty member.

#### **5.1.1.2.2.7 Concurrent Reviews**

An annual review may occur while an action plan is in place. In such cases, the affected area(s) of performance shall be evaluated in terms of progress on the action plan. All other areas shall be evaluated in accordance with the departmental standards.

Approved by the Faculty Senate on 1/22/19; by the Senior Vice President and Provost on 1/25/19; and the ISU President on 1/26/19.

#### **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. ([FH Chapter 3](#))

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 their 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 their 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 ([FH Section 5.2.2](#)), ([FH Section 5.2.3](#)), and ([FH Section 5.2.4](#)).

### **5.1.1.5 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 their 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 ([FH Section 5.5.1](#)).

For information regarding faculty review of central administrators, see ([FH Section 5.7](#)).

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

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 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."

### **5.2.1 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 ([FH Section 7.2](#)), elimination of academic programs ([FH Section 3.5.2.2](#)) or financial exigency ([FH Section 3.5.2.3](#)). 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.

Approved by Faculty Senate (May 4, 2010); by the provost and president (May 24, 2010).

### **5.2.1.1 Eligibility for Tenure**

All regular full-time continuous 12 month or 9 month appointments to the rank of instructor or higher accrue rights to tenure. Tenure is conferred by the Iowa Board of Regents and is associated with the faculty appointment in an academic department. The tenure process begins with a review by peers in the department(s) of appointment and continues through review by the college, the senior vice president and provost, and the president.

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 ([FH Section 7.2](#)), elimination of academic programs ([FH Section 3.5.2.2](#)) or financial exigency ([FH Section 3.5.2.3](#)).

Approved by Faculty Senate (May 4, 2010); by the provost and president (May 24, 2010).

### **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 their 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. Departmental voting policies for the awarding of rank and granting of tenure for new hires shall be followed.

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 their 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.

Approved by Faculty Senate (November 19, 2009); by the provost and president (November 30, 2009).

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

The date that a tenure-eligible faculty member actually begins the performance of their 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 9 month appointments, or the end of the fiscal year in the case of 12 month 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. While a faculty member, is ordinarily reviewed for tenure in the sixth year of appointment, upon consultation with the department chair, they may be reviewed for tenure at any time they have satisfied the criteria and requirements for promotion and tenure.

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. However, upon consultation with the department chair, a faculty member may be reviewed

for tenure at any time they have satisfied the criteria and requirements for promotion and tenure. Under no circumstances, however, will a tenure-eligible faculty member be reviewed for tenure later than during their 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. The senior vice president and provost will determine whether or not to grant the request.

Approved by Faculty Senate (March 8, 2011); president and provost (March 22, 2011).

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

Ordinarily the probationary period will provide sufficient time for the faculty member to demonstrate their 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 senior vice president and provost as soon as possible but no later than April 1 prior to 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, adoption or the foster care placement of a child will be submitted to and approved by the chair, dean of the college, and senior vice president and provost. The chair, dean of the college, and senior vice president 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.

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

Section 5.2.1.4 was amended and approved by the Faculty Senate on 1/20/15, by the Senior Vice President and Provost on 2/19/15 and the ISU President on 2/25/15.



#### **5.2.1.4.1 Extending the Probationary Period for the Birth of a Child, Adoption or the Foster Care Placement of a Child**

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 any time during the probationary period 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.

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 they do 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 must be supported by sufficient medical documentation that includes a discussion of the need for that faculty member to provide assistance. This supporting medical documentation shall be submitted to and maintained confidentially by University Human Resources. Upon UHR's confirmation that the medical documentation is consistent with the request, the senior vice president and provost will evaluate the request for final determination.

#### **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 must be supported by sufficient medical documentation that indicates the effect of the medical condition upon the faculty member's work. This supporting medical documentation shall be submitted to and maintained confidentially by University Human Resources. Upon UHR's confirmation that the medical documentation is consistent with

the request, the senior vice president and provost will evaluate the request for final determination.

#### **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 their 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 Library 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 and generating new knowledge. 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/innovation activities, and/or extension/entrepreneurship/professional practice. In all areas of professional activity, a faculty member is expected to follow the principles of faculty conduct as stated in [FH Section 7.1](#).

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/innovation activities, (3) extension/entrepreneurship/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.

Amended and approved by the Faculty Senate on 5/3/22, the Senior Vice President and Provost on 5/13/22, and the University President on 5/13/22.

## **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/innovation activities, and extension/entrepreneurship/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, innovation, entrepreneurship, teaching, and extension/professional practice. Innovation generally refers to renewing, changing or creating more effective processes or products, while academic entrepreneurship refers to innovating ideas, products, businesses, and/or bringing about change that challenges the status quo of how people live on a daily basis.

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" and must be communicated in appropriate ways so as to demonstrate significant impact for the public and/or for the discipline itself (including future impact as appropriate).

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 their scope of topics beyond those traditional to a particular discipline.

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

Table 1. The Nature of Scholarship

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

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

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

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

Faculty also may submit evidence of scholarship that has not been documented by peers in the discipline, even though this evidence alone would not be sufficient to justify promotion

and tenure. Evidence regarding both documented and undocumented scholarship provides a holistic portrayal of the candidate's scholarly work. For example, course materials in and of themselves do not constitute scholarship. However, if an individual's course materials reveal that they "communicate 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.

Amended and approved by the Faculty Senate on 5/3/22, the Senior Vice President and Provost on 5/13/22, and the University President on 5/13/22.

### **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, innovative 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
- development of new or improving the quality/impact of courses and/or internship 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/innovate 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
- involvement in student entrepreneurial activities
- 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
- creation and/or incorporation of curricular content that connects the subject matter to societal impact through innovation
- support and instruct students in commercialization and I&E service activities – including developing collaborative approaches to solving complex world problems.

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

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

Amended and approved by the Faculty Senate on 5/3/22, the Senior Vice President and Provost on 5/13/22, and the University President on 5/13/22.

### 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/entrepreneurship/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 transfer of technology/knowledge to society
- engaging in entrepreneurial activities
- 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, websites, 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.

Amended and approved by the Faculty Senate on 5/3/22, the Senior Vice President and Provost on 5/13/22, and the University President on 5/13/22.

### **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 they are 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 their 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 their 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 their professional peers within the university, as well as nationally and/or internationally, for the quality of the contribution to their 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

There is no set time-line for a faculty member to demonstrate the three criteria identified above. The faculty member's entire academic career must be considered in the evaluation of whether or not the candidate has met these criteria. A recommendation for promotion to professor also must be based upon an assessment of the record, since the last promotion, regardless of the institution that granted the promotion. The candidate is expected to have made contributions of appropriate magnitude and quality and demonstrated the ability to sustain contributions to the field or profession and to the university.

Approved by the Faculty Senate 11/13/12; approved by the provost 11/20/12; approved by the president 11/27/12

## **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 senior vice president and 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 senior vice president and 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**

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, is defined as a formal vote, 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 departmental faculty vote occurs regarding promotion and tenure decisions, eligible faculty members must vote at the departmental level (unless they have already voted as part of a departmental P&T committee) and 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, they may not also vote on the decision at the departmental faculty, college, or other levels.

4) Other administrators participating in a promotion and tenure decision (those whose title contains the term president, provost, or dean) must only participate at the appropriate administrative level and are not allowed to vote on the decision at any other level.

There can be two types of departmental committees. Departments may have advisory or process committees whose function is not evaluative but limited to helping the candidate prepare the dossier, and/or which present or summarize the candidate's dossier for the faculty. Participating in this committee is not considered a vote. The committee referred to throughout this document as the promotion and tenure committee is the evaluative committee which takes a vote for a recommendation or evaluation of the candidate.

See also ([FH section 5.2.4.2.3](#)) and ([FH Section 5.2.4.3](#)).

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.

Policy amended and approved by the Faculty on 4/2/13, the Senior Vice President and Provost on 4/9/13 and the University President on 4/10/13.

## **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 senior vice president and 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 Offer Letter (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 senior vice president and 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 committee chair is responsible for making, and justifying in writing, the final decision regarding conflicts of interest. 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.

Amended and approved by the Faculty Senate on 4/2/13, the Senior Vice President and Provost on 4/9/13 and the University President on 4/10/13.

#### **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 their 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 they believe 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 ([FH Section 5.2.4.1](#)) 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 must be cast at the departmental level (as a member of a department 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.

Amended and approved by the Faculty Senate on 4/2/13, by the Senior Vice President and Provost on 4/9/13 and by the University President on 4/10/13.

#### **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 senior vice president and 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. 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. The committee chair is responsible for making, and justifying in writing, the final decision regarding conflicts of interest. 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.

Amended and approved by the Faculty Senate on 4/2/13, by the Senior Vice President and Provost on 4/9/13, and the University President on 4/10/13.

#### **5.2.4.3.3 Dean**

Each dean reviews the promotion and tenure recommendations from the departments and from the college committee and presents their recommendations to the senior vice president and 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 senior vice president and 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 their 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 Senior Vice President and Provost**

The senior vice president and provost makes their recommendations to the president of the university. The senior vice president and 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 senior vice president and provost's recommendation is contrary to the dean's recommendation, the senior vice president and provost will summarize in writing the reasons as part of their recommendation. The chair will forward the senior vice president and provost's recommendation and summary to the departmental promotion and tenure committee.

##### **5.2.4.4.2 President**

The president makes their 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 senior vice president and provost of the whether a positive recommendation is being sent to the Board of Regents. If the presidential recommendation is contrary to the senior vice president and provost's recommendation, the president will summarize the reasons for their 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 senior vice president and 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 faculty with a 9 month appointment ordinarily take effect at the beginning of the next academic year. Promotions for faculty with a 12 month appointment ordinarily take effect at the beginning of the next fiscal year; exceptions to these dates may be granted by the senior vice president and provost.

##### **5.2.4.4.5 Appeals**

In a mandatory case, following the senior vice president and provost's decision not to forward a positive recommendation to the president, 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. An appeal to the Faculty Senate Committee on Appeals can focus on the decision made at one or more administrative levels depending on where the faculty member believes the improper decision was made. An appeal must be based on the grounds outlined in [FH section 9.1](#). The calendar to file an appeal (30 days) ([FH Section 2.9.1 defining days](#)), starts when the faculty member receive notification from the senior vice president and provost, regardless of who is listed as the appellee(s).

In non-mandatory cases, a faculty member must exhaust all possible review processes before filing an appeal. A faculty member may request a negative recommendation be forwarded unless a college or departmental governance document explicitly prohibits it. The request for further review must be made rather than appealing the decision not to forward a positive recommendation. Once the review process in a non-mandatory case has been exhausted, 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, or senior vice president and provost decides not to forward the recommendation. An administrative appeal should be filed with the next person in the administrative chain.

Amended and approved by the Faculty Senate on 12/13/16, by the Senior Vice President and Provost on 12/13/16, and the University President on 12/19/16.

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

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.

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 provost and president (11/2/98)  
Approved by Board of Regents (12/3/98)

#### **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 their 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 their 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.

### **5.3.1.4.5 Equity, Diversity, and Inclusion Activities**

Faculty are encouraged to document equity, diversity and inclusion activities and the impact of this work related to teaching, research/creative activities, extension/professional practice, institutional service, and/or other areas of their job responsibilities.

Approved by the Faculty Senate on 1/26/21; the Senior Vice President and Provost on 1/29/21; and the ISU President on 1/29/21.

## **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 their 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 they have 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 they have 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)**

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 ([FH Section 5.2.4.1](#)). These letters are not to be shared with others.

##### **5.3.3.1.1 Letters of External Peer Evaluation from Professionals in the Field, outside the Institution**

A maximum of six (6) 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. These individuals should be independent of the faculty member being reviewed. Co-authors, co-principal investigators, dissertation/thesis advisors, or others with similarly close association should be excluded. Individual exceptions may be granted for small disciplines or other circumstances when it is not possible to exclude all co-authors or co-principal investors. When necessary, however, these individuals should be solicited to detail the nature of collaborative projects or to respond to specific questions.

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 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. 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.

### **5.3.3.1.2 Letters of Internal Peer Evaluation 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.

Approved by Faculty Senate 2/14/2006, 3/7/2006, 1/13/2009, 2/10/2009, 3/10/2009, 11/13/12; approved by president and provost 1/15/2009 and 3/19/2009; provost 11/20/12; president 11/27/12.

### **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. An evaluation by the department faculty (as outlined in the department governance document) will be forwarded with the case, as will an independent evaluation by the department chair. These evaluations 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 their 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

Amended and approved by the Faculty Senate on 12/12/17.

### **5.3.4 Post-Tenure Review Policy**

Faculty in each department are charged with developing and implementing a plan for peer review of each tenured faculty member in the unit. The review should address the quality of the faculty member's performance in accordance with all position responsibility statements (PRSs) in effect during the period of the review in the areas of teaching, research/creative activities, extension/professional practice, and institutional service. If applicable, the review should also discuss the effectiveness of part-time appointments. The review shall include an overall recommendation of the performance (meeting expectations or below expectations) and result in acknowledgement of contributions and may also include suggestions for future development of the faculty member. A faculty member may receive a below expectations review if their performance in any aspect of PRS is below expectations.

### **5.3.4.1 Post-Tenure Review Timeline**

Post-tenure review of each tenured faculty on full-time or part-time appointment will occur under the following guidelines:

- At least every seven years.
- At the faculty member's request (but at least 5 years from last review).
- During the year following two consecutive unsatisfactory annual reviews.

Faculty members are exempted from their scheduled post-tenure review if: 1) they are being reviewed for higher rank during the same year, 2) they are within one year of announced retirement or are on phased retirement, or 3) they are faculty members who serve as department chair or whose title contains the term president, senior vice president and provost, or dean.

### **5.3.4.2 Post-Tenure Review Outcomes**

Based on the outcomes of the post-tenure review, the following actions will be taken:

- A "meeting expectations" post-tenure review recommendation may include suggestions for future development of the faculty member. If a meeting expectations post-tenure review recommendation includes a determination of below expectations performance in any PRS area, then the faculty member will work with the department chair and the chair of the review committee to develop a detailed action plan for performance improvement in those areas. The action plan will be signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for Action Plan Mediation ([FH Section 5.1.1.2.2](#)).
- A below expectations post-tenure review recommendation will include specific recommendations for achieving an acceptable performance evaluation. The faculty member will work with department chair and the chair of the review committee to develop a detailed action plan for performance improvement in areas deemed below expectations. The action plan will be signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for Action Plan Mediation ([FH Section 5.1.1.2.2](#)). Failure to have the performance improvement plan in place by the time of the next academic year's annual performance review may result in a charge of unacceptable performance as defined in the Faculty Conduct Policy ([FH Section 7.2.2.6.1](#)).

### **5.3.4.3 Role of the Department Chair**

The department chair will take the following actions regarding post-tenure review:

- Review the post-tenure review report submitted.
- Provide a cover letter to the dean indicating agreement with the outcome of the report or a detailed explanation if there is disagreement with the report findings. In



cases of disagreement, the explanation is also communicated to the post-tenure review committee and the candidate.

- Discuss the post-tenure review report and its recommendations with the reviewed faculty member.
- Work with the reviewed faculty member and the chair of the review committee to develop the action plan for improving performance for those faculty who received a below expectations recommendation. After the action plan is agreed upon, it is the responsibility of the department chair and the faculty member to ensure that the action plan is implemented. It is the chair's responsibility to assess the faculty member's performance in accomplishing the action plan.
- Forward post-tenure review materials to college.

#### **5.3.4.4 Role of the Dean**

The dean will take the following actions regarding post-tenure review:

- Review post-tenure review reports and recommendations submitted for consistency and thoroughness.
- Provide feedback to the department chairs and the college caucus if there are areas that need improvement regarding thoroughness or consistency of post-tenure review processes or reports.
- Forward post-tenure review materials to the Office of the Senior Vice President and Provost.

#### **5.3.4.5 Role of the Senior Vice President and Provost**

The senior vice president and provost will take the following actions regarding post-tenure review:

- Review post-tenure review reports and recommendations submitted for consistency and thoroughness.
- Provide feedback to the deans if there are areas that need improvement regarding thoroughness or consistency of post-tenure review processes or reports.

#### **5.3.4.6 Post-Tenure Review Guiding Principles**

Post-tenure 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 for adequate cause remain those listed in the Faculty Handbook under ([FH Section 7](#)).

The departmental policy for post-tenure review should designate the following:

- the review participants
- review procedures and timelines
- materials to be reviewed
- mechanisms for the faculty member to respond

If an action plan is necessary, it must include at least the following three parts: 1) the justification for the plan, 2) a specific timetable for evaluation of acceptable progress on the plan, and 3) a description of possible consequences for not meeting expectations by the time of that evaluation.

The departmental post-tenure review policy shall be reviewed, approved, and revised by the department in accordance with the departmental, collegiate, and university governance approval process.

Approved by Faculty Senate (March 23, 1999).

Approved by Faculty Vote (April 30, 1999).

Approved by Board of Regents (June 16, 1999).

Approved by Faculty Senate (May 4, 2010); by president and provost (May 24, 2010).

Approved by Faculty Senate (April 5, 2011); by president and provost (April 7, 2011).

Amended and approved by the Faculty Senate on December 9, 2014; the Senior Vice President and Provost on January 3, 2015; and the University President on January 8, 2015.

## **5.4 Evaluation, Renewal, and Advancement of Term Faculty**

### **Appointments**

(For appointment policies of Term Faculty appointments, see [FH section 3.3.2](#))

#### **5.4.1 Evaluation and Renewal of Term Faculty**

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

- Annual reviews (chair or designee)
- Review for renewal of appointment. (Peer review)
- Review for advancement. (Peer review)

Peer reviews shall take place every three years (not counting annual reviews) OR at appointment renewal time, whichever is greater.

##### **5.4.1.1 Annual Review**

Annual performance evaluations ([see FH 5.1.1.2](#)) are required for all term faculty whether full time or part-time and are conducted by the department chair or their designee. The evaluation is for performance appraisal and is based on an individual's Position Responsibility Statement. The annual evaluation will serve as a basis for determining merit salary increases.

##### **5.4.1.2 Review for Renewal of Appointment**

Term faculty appointments are eligible for renewal based upon the quality of performance and the continuing need of the unit. Term faculty members, full-time and part-time, shall be reviewed by an appropriate faculty committee before the end of third year after the initial appointment date. Tenured faculty and term faculty at the associate professor or professor ranks shall be eligible to serve on the committee. Subsequent peer reviews shall occur every three years or at appointment renewal time, whichever is greater. The outcomes of peer reviews shall inform appointment renewal decisions.

### **5.4.1.3 Review for Advancement**

All Term Faculty may be proposed for advancement to the next rank according to the schedule and current time at rank as specified in [FH Section 3.3.2.3](#). Faculty are encouraged to document equity, diversity and inclusion activities, and the impact of this work related to teaching, research/creative activities, extension/professional practice, institutional service, and/or other areas of their job responsibilities. Colleges and departments shall develop procedures in their governance documents for advancing Term Faculty that include a faculty peer review committee. Tenured faculty and term faculty at or above the rank being considered shall be eligible to serve on the committee. The next peer review shall occur during the third year following a successful advancement review, or at appointment renewal time.

Term Faculty appointments at the assistant/lecturer rank are eligible for promotion to the associate level after 5 years of employment as a faculty member at ISU (full or part time) or equivalent experience. They must meet the standards for appointment identified in [FH Section 3.3.2.3](#). For Term Research Faculty, external letters shall be included in the review for advancement.

Approved by the Faculty Senate on 1/26/21; the Senior Vice President and Provost on 1/29/21; and the ISU President on 1/29/21.

#### **5.4.1.3.1 Introduction**

All term faculty may seek advancement to the next rank according to the schedule and current time at rank as specified in [FH Section 3.3.2.3](#). Recommendation for advancement is based upon an assessment of the record since the last advancement. All advancement reviews for term faculty are non-mandatory, and an eligible faculty member may decline to seek advancement. Advancement review and contract renewal review are separate and independent processes.

#### **5.4.1.3.2 Advancement and Credit for Prior Service**

Term faculty may seek advancement review, which is non-mandatory. Colleges and/or departments may have more specific criteria for advancement, which shall be clearly documented and available for the faculty member seeking advancement ([FH Section 5.4.1.3.3](#)). A faculty member's entire academic career, including service as a faculty member at other institutions, may be considered for advancement. However, service at other institutions does not count toward the three years of continuous service at Iowa State University after which contracts are required to be for two to three years ([FH Section 3.3.2.3](#)).

Term faculty appointments at the lecturer/assistant rank are eligible for advancement to the associate rank after a total of five years of employment as a faculty member at ISU (full- or part-time). Advancement to the term associate rank denotes a record of successful contributions to the mission of the university or the professional field as defined in the PRS and promise of further accomplishment ([FH Section 3.3.2.3](#)).

There is no set timeline for advancement from term associate to term professor rank. Advancement to the term professor rank is appropriate for term faculty who have proven their excellence in the primary responsibilities identified in their PRS and effectiveness in any other areas of their PRS ([FH Section 3.3.2.3](#)). A recommendation for advancement to term professor must be based upon an assessment of the record since the last advancement, regardless of the institution that granted it.

The five years of service at Iowa State University may be reduced through credit for prior faculty service at other academic institutions or relevant professional expertise. Credit for prior service is granted at the discretion of the hiring unit at the time of hire or before the issuance of the first multi-year contract.

#### **5.4.1.3.3 Documentation for Advancement Review**

The candidate is responsible for submitting a faculty portfolio documenting their performance with respect to the responsibilities identified in their PRS. Each college shall establish guidelines and a template for faculty indicating how faculty seeking advancement shall document their performance. As stated in [FH Section 5.4.1.3.1](#), all advancement reviews for term faculty are non-mandatory, and an eligible faculty member may decline to seek advancement.

#### **5.4.1.3.4 Department Review**

Colleges and departments shall develop procedures in their governance documents for advancing term faculty that include a faculty peer review committee. Term, tenured, and tenured-eligible faculty shall be eligible to serve on advancement committees with the same rank expectations (as distinct from appointment type) as the department uses for promotion and tenure committees. For term research faculty, external letters shall be included in the review for advancement ([FH Section 5.4.1.3](#)).

The department reviews the candidate's advancement materials per the departmental governance document process. The department chair will inform the term faculty member whether a recommendation will be forwarded to the college dean, and, if so, the nature of the recommendation(s). Term faculty who are not recommended by either the department committee, the department chair, or both, will be informed in writing by the department chair. This information should be presented in a constructive manner and, where appropriate, should include guidance for improving performance relative to the department's criteria for advancement.

Approved by the Faculty Senate on 4/19/22; the Senior Vice President and Provost on 5/11/22; and the ISU President on 5/11/22.

#### **5.4.1.3.5 College Review**

Each dean reviews the advancement recommendations from the department(s), and the college committee responsible for term faculty advancement [if constituted] and presents the recommendations to the Senior Vice President and Provost, along with the

recommendations and votes of the committee(s), the department chair report, and documentation required by the colleges.

The dean will inform in writing each candidate, the respective department chair, and the college committee responsible for term faculty advancement [if constituted], whether a recommendation will be forwarded to the Senior Vice President and Provost and, if so, the nature of the recommendation. If the dean's recommendation is contrary to the department chair or committees responsible for term faculty advancement recommendations, the dean will summarize the reasons in writing to the department chair. The department chair will forward the dean's recommendation and summary to the department committee.

#### **5.4.1.3.6 University Review**

Review for advancement of term faculty concludes at the university level with the Senior Vice President and Provost. The Senior Vice President and Provost will inform in writing each candidate and the respective department chair and dean of the final institutional decision. If the Senior Vice President and Provost's decision is contrary to the dean's recommendation, the Senior Vice President and Provost will summarize in writing the reasons as part of their recommendation and share this with the dean and department chair.

#### **5.4.1.3.7 Appeals of Advancement Decisions**

As advancement cases are non-mandatory, a faculty member must exhaust all possible review processes before filing an appeal. A faculty member may request a negative recommendation be forwarded to the next review level unless a college or departmental governance document explicitly prohibits it. The request for further review must be made rather than appealing the decision not to forward a positive recommendation. Once the review process in a non-mandatory case has been exhausted, a decision not to forward a positive recommendation for advancement may be appealed through administrative channels or through the Faculty Senate Appeals Committee when the department chair or dean decides not to forward the recommendation. An administrative appeal should be filed with the next person in the administrative chain.

#### **5.4.1.3.8 Effective Dates for Advancement**

Advancement in rank for faculty with a nine-month appointment takes effect at the beginning of the next academic year. Advancement for faculty with a twelve-month appointment takes effect at the beginning of the next fiscal year. The Senior Vice President and Provost may grant exceptions to these dates.

Approved by the Faculty Senate on 5/4/21; the Senior Vice President and Provost on 6/1/21; and the ISU President on 6/2/21.

#### **5.4.1.4 Evaluation, Renewal, and Advancement of Professional and Scientific (P&S) Term Faculty Appointments**

A person employed in a P&S position and assigned term faculty responsibilities shall be evaluated renewed, and advanced for that portion of their responsibilities according to the schedule as specified in [FH Section 3.3.3.2](#). Advancement must follow the policy described in [FH Section 5.4.1.3](#).

#### **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 tenure-stream faculty promotion policies and procedures, as described in FH Sections [5.2.2](#), [5.2.3](#) and [5.2.4](#).

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

Since these appointments are for a one year term and renewable only for a maximum of two years total, no peer review is required nor is advancement possible. At any time the appointment may be terminated without cause.

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

Appointments for all ranks of affiliate faculty shall be for a term not to exceed five years, with the possibility of renewal. At any time the appointment may be terminated without cause. A peer performance review involving a faculty committee shall be done at time of renewal. An affiliate faculty member may be reviewed for advancement to the next rank according to the schedule as specified in [FH Section 3.3.3.1](#). Advancement must follow the policy described in [FH Section 5.4.1.3](#). Review of individuals in these positions will be based on the Affiliation Agreement form.

Approved by the Faculty Senate on April 19, 2016; by the Senior Vice President and Provost on May 2, 2016; and by the ISU President on May 3, 2016.

Amended and approved by the Faculty Senate on May 1, 2018; by the Senior Vice President Provost on July 19, 2018; and by the ISU President on July 25, 2018.

### **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 senior vice president and 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 senior vice president and provost in consultation with the appropriate elected collegiate governance organization. In the absence of such an elected organization, the senior vice president and 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 senior vice president and provost and the college faculty

Review procedures adopted by each college shall become part of that college's governance document, after review by the senior vice president and 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**

Approved by the Faculty Senate on November 19, 2009 and by the president and provost on November 30, 2009

The supervision of teaching assistants and the maintenance of teaching proficiency standards are the responsibilities of the hiring department. To that end, departments or programs in which teaching assistants perform their duties will evaluate their teaching proficiency 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 senior vice president and 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 [FH Section 10.7.1](#))

## **5.7 Review of Central Administrators**

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

Section 5.6 was amended and approved by the Faculty Senate 4/23/13, by the Senior Vice President and Provost on 5/29/13, and the ISU President on 6/6/13.

### **5.7.1 Purposes**

This review program has the following two primary purposes:

- to provide an occasion for central administrative officers to review 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 review 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 senior vice presidents 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, senior vice president and provost, senior vice president for university services, and senior 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
- one member from the Faculty Senate's council for Faculty Development and Administrative Relations
- one member from another Faculty Senate 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 other reviewer appointed after consultation with the administrator of the office to be evaluated. This reviewer should have expertise relevant to the office being evaluated and may be external to the university

## **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. 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 Senior Vice President for Operations and Finance
- Office of the Senior Vice President and Provost, including the Office of the Vice President for Research and the Office of the Vice President for Extension and Outreach
- Office of the Senior Vice President for Student Affairs

Approved by Faculty Senate (November 9, 2010); by president and provost (December 6, 2010)

### **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 (president, vice presidents, deans, department chairs)
- 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 Office of the Senior Vice President and Provost 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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## **Faculty Handbook Chapter 6. Faculty Recognition and Development**

### **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 Guidelines for the Selection of a Candidate**

- The primary criteria for the selection of a candidate are a career of superlative intellectual and/or creative activity and of representing the ideals of Iowa State University.
- Attention must be given to calendar, nomination procedures, and documentation of a candidate's qualifications.  
Special emphasis should be placed on securing nominations for candidates that will advance diversity, equity, and inclusion.

Approved by the Faculty Senate 4/23/13, the Senior Vice President and Provost 5/20/13, and the ISU President 5/28/13.

### **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.

### **6.2.5 Rescission of Honorary Degrees**

If an honorary degree recipient has acted in a manner as to bring the University's name into disrepute, compromise the public trust, dishonor the University's standards, or otherwise be contrary to the best interests of the University, that recipient's honorary degree may be rescinded by the President of Iowa State University, following the recommendation of the Committee on Awarding Honorary Degrees and the approval of the Executive Board of the Faculty Senate.

Approved by the Faculty Senate 4/23/13, the Senior Vice President and Provost 5/20/13 and the ISU President 5/28/13.



## **6.3 Distinguished, University, and Morrill Professorships**

The Distinguished Professorship, University Professorship and Morrill 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 three 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, University Professorship and Morrill 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. The Morrill Professorship is bestowed on faculty members who have demonstrated outstanding and sustained success in teaching and learning in undergraduate, graduate and/or Extension/outreach programs. These differences are described in detail in the sections below.

Approved by Faculty Senate 3/06/01

Approved by Faculty Senate 3/27/07

Approved by Faculty Senate 11/8/11; approved by president and provost 11/17/11

### **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. Only if recommended by the Distinguished Professor Nomination Review Committee, the length of service could be waived for a new hire who holds a similar title at a peer university or who is a member of one of the National Academies.

Amended and approved by the Faculty Senate on December 9, 2014; the Senior Vice President and Provost on January 3, 2015; and the University President on January 8, 2015.

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

The procedures for the nomination and selection process are provided on the [Senior Vice President and Provost's web page under Faculty Awards](#).

The Distinguished Professor Nomination Review Committee is appointed by the senior vice president and 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 senior vice president and 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, senior vice president and 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 [Senior Vice President and Provost's web page under Faculty Awards](#).

The University Professor Nomination and Review Committee is appointed by the senior vice president and 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 senior vice president and provost.

### **6.3.3 Morrill Professor**

The Morrill Professorship recognizes faculty members whose professional work has demonstrated outstanding success in teaching and learning in undergraduate, graduate and/or Extension/outreach programs which is reflected by a national or international reputation in the nominee's discipline. A Morrill Professor must above all else have long-term, and sustained excellence in teaching and learning. This professional work must go beyond scholarly work in teaching and learning and show outstanding accomplishments that have enhanced learning outcomes in undergraduate, graduate and/or Extension/outreach programs. In addition to these contributions, a Morrill Professor must have demonstrated outstanding performance in at least one other area of faculty

responsibility: (1) research and/or creative activities, (2) professional practice, or (3) institutional service.

Approved by Faculty Senate 11/8/11; approved by president and provost 11/17/11

### **6.3.3.1 Eligibility**

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

### **6.3.3.2 Procedures for the Selection Process**

The procedures for the nomination and selection process are provided on the [Senior Vice President and Provost's web page under Faculty Awards](#). The Morrill Professor Nomination and Review Committee is appointed by the Senior Vice President and Provost following procedures established by the Faculty Senate. The Morrill 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 Senior Vice President and Provost.

## **6.4 Emeritus/a Professor**

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

The privileges enjoyed by emeritus/a faculty include the following:

- being listed by title in the online *University Catalog*
- being included on institutional communications to faculty
- being afforded the same status as regular faculty with respect to all events, activities, and services sponsored or provided by the university
- being provided office space when such space is available.

The responsibilities of emeritus/a faculty include the following:

- abiding by all university policies as articulated in the Faculty Handbook and in the ISU Policy Library.

Emeritus/a faculty are subject to the same Faculty Conduct Policy as current faculty. Violation of policy is grounds for removal of the emeritus/a designation.

Approved by the Faculty Senate on 5/07/91; 11/14/12

Approved by the Provost 11/20/12; Approved by the President 11/27/12

### **6.4.1 Eligibility**

The following faculty are eligible for the emeritus/a designation:

- A term or 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 automatically will be given emeritus/a designation at the rank of professor.

- A retiring term or tenured faculty member at the rank of full professor serving fewer than 10 years at Iowa State University, as well as a term or tenured faculty member who has retired at the rank of assistant or associate professor and who have distinguished themselves through meritorious service to the university and the profession also may be given, through process of nomination, the emeritus/a designation at the last rank held.
- Persons retiring from administrative duties, at the discretion of the president, may retain their administrative title with emeritus/a designation added (e.g., dean emeritus/a). A president, upon retirement, may be given the title "president emeritus/a" by the Board of Regents, State of Iowa.

### **6.4.2 Nomination Process**

Term or tenured faculty who retire at the rank of professor with ten or more years of continuous employment at the university are automatically granted emeritus/a designation upon retirement.

A nomination and approval process is in place in the case of: 1) term or tenured faculty who retire at the rank of professor without ten or more years of continuous employment at Iowa State University; 2) term or tenured faculty who retire at the rank of assistant or associate professor:

- Nominations must be initiated by the faculty of the individual's department(s) and supported by the faculty. The department's nomination statement and any supporting documentation will be forwarded to the dean's office by the department chair.
- The college dean will review the nomination, soliciting as appropriate the input of the dean's cabinet. The dean will forward their recommendation, together with the department nomination, to the Office of the Senior Vice President and Provost within 30 days of receipt of the department's nomination.
- The Senior Vice President and Provost will review the documentation received and render a decision within 30 days of receipt of the dean's recommendation.
- The faculty member nominated, the department chair, and the dean will be notified of the final decision by the Senior Vice President and Provost.

Amended and approved by the Faculty Senate on 4/18/2017 and 11/12/2019; by the Senior Vice President and Provost on 5/1/17 and 11/25/19; and by the ISU President on 5/1/17 and 11/26/19.

### **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. A listing and description of awards and criteria for submitting nominations may be found on the [Senior Vice President and Provost's web page](#).

Approved by Faculty Senate 3/6/2012; approved by president and provost 4/10/2012

## **6.6 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 who wish to receive credit will be expected to pay full tuition and fees for all courses. Alternatively, faculty members who wish to attend university classes informally on a no-credit basis should confer with the instructor in charge.

Approved by Faculty Senate 3/6/2012; approved by president and provost 4/10/2012

## **6.7 Faculty Development Programs**

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

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. Other leaves will be handled administratively and will not be included as part of the FPDA Program. Guidelines for preparation, review and approval of applications are on the [Senior Vice President and Provost's website – Faculty Development Assignment Program Overview](#).

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

Approved by Faculty Senate 3/6/2012; approved by president and provost 4/10/2012

### **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: [Big 12 Faculty Fellowship Program on the Senior Vice President and Provost's website](#).

Approved by Faculty Senate 3/6/2012; approved by president and provost 4/10/2012

### **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 senior vice president and 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 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 Senior Vice President and Provost and the Center for Excellence in Learning and Teaching, and guidelines for preparing and submitting proposals are available on the web at: [Miller Faculty Fellowship Program on the Center for Excellence in Learning and Teaching website](#).

Approved by Faculty Senate 3/6/2012; approved by president and provost 4/10/2012

### **6.7.5 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.

#### **6.7.5.1 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.

### **6.7.5.2 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

### **6.7.5.3 Application and Review**

Information and application forms are available from the [Faculty Senate website – Foreign Travel Grants](#). 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.

### **6.7.6 Mentoring Program for New Faculty**

The Office of the Senior Vice President and 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. [Early Career Faculty Programs and Resources on the Senior Vice President and Provost website](#)

Approved by Faculty Senate 3/6/2012; approved by president and provost 4/10/2012

### **6.7.7 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 President for Research website under Bailey Award](#).

Approved by Faculty Senate 3/6/2012; approved by president and provost 4/10/2012

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## **Faculty Handbook Chapter 7. Faculty Conduct Policy**

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

### **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 their 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. ([FH Section 10.6.1](#))

#### **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 and Commitment

Iowa State University encourages active participation of faculty in external activities that promote the university's mission, enhance professional skills, expand knowledge, and/or contribute to public service. At the same time, the university expects all employees to conscientiously guard against possible adverse effects of their activities on the performance of their university duties and the reputation of the university.

Activities or financial interests with the potential to lead to such adverse effects are termed "conflicts." The university policy that provides a broad framework for understanding, disclosing and managing conflicts is the [Conflicts of Interest and Commitment Policy in the Policy Library \(COIC Policy\)](#). All university employees are required to comply with the COIC Policy and the [Procedures, Applications, and Guidance](#) established for disclosure, approval, and management of conflicts of interest and commitment. The COIC Policy complies with federal and state law and Board of Regent policies and rules regarding all forms of conflicts.

Details of procedures for disclosing and managing specific types of conflicts are provided in the [Conflicts of Interest and Commitment Policy in the Policy Library](#) and the [Procedures, Applications, and Guidance](#) document. Included are guidelines related to:

- Financial conflicts of interest (financial interests in, management roles in and consulting for external entities, as well as ownership of patents, patent applications and royalty rights)
- Professional Activity Leave
- Service to government and professional associations

Iowa State University requires the disclosure, review/approval, and management of external activities or financial interests with the potential to interfere with one or more of the following:

- **Performance of Duties:** University employees are expected to devote sufficient time and attention to their university duties to perform them conscientiously. An

external activity with the potential to interfere with the employee's university duties is known as a conflict of commitment.

- **Objectivity:** University employees are expected to be objective in the decisions they make while performing their university responsibilities. Financial or other personal considerations with the potential to compromise an employee's objectivity are known as conflicts of interest.
- **Appropriate Use of State Resources:** State law prohibits the use of state resources, including the university name and trademarks, for personal benefit when such use is detrimental to the state or university.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **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. See [Consenting Relationships Policy in the Policy Library](#).

### **7.2.2.1.2 Family Relationships - Nepotism**

The State of Iowa Board of Regents 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. See [Board of Regents Policy Manual – 2.1 Human Resources, 4.H.](#)

### **7.2.2.1.3 Procurement**

Faculty and immediate family members may not sell goods or services to the University unless in conformity with Board of Regents Policy. ([FH Section 8.3.7](#)) Iowa law also forbids the acceptance of gifts from persons in certain circumstances, which may indicate improper influence. See [Gratuities and Gifts, Procurement in the Policy Library.](#)

Approved by the Faculty Senate on 3/6/2012; approved by the president and provost on 4/10/2012  
Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.2.2 Discrimination and Harassment**

The University values and promotes an environment that enables all members of the community to pursue work and study free from discrimination and harassment. At the same time, the university is committed to preserving academic freedom and an environment of free debate and discussion. As employees, faculty are responsible for abiding by the University's [Non-Discrimination and Anti-Harassment Policy](#) as well as the University's [Title IX Sexual Harassment, Sexual Assault, Dating Violence, Domestic Violence, and Stalking Policy](#). These policies, and the procedures detailed within, govern the investigation and adjudication of complaints filed pursuant to these policies.

Amended and approved by Faculty Senate 12/8/20; by the Senior Vice President and Provost 12/12/20; and the ISU President 12/12/20.

### **7.2.2.3 Bullying (Harassing) Behavior**

Criticism and actions can result in bullying when:

- Spoken, 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;
- Spoken, 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
- Spoken, written, or physical conduct intentionally encourages others, acting singly or in a group, to bully others.

Amended and approved by Faculty Senate 9/11/18; by the Senior Vice President and Provost 9/24/18; and the ISU President 10/3/18. Amended and approved by Faculty Senate 1/22/19; by the Senior Vice President and Provost 1/25/19; and the ISU President 1/26/19.

#### **7.2.2.4 Academic and Research Misconduct**

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

Academic and research misconduct include any and all practices that seriously deviate from those commonly accepted in the academic community for teaching, research, extension, administration, professional practice and service.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

##### **7.2.2.4.1 Academic Misconduct**

Examples of academic misconduct include the following:

- Plagiarism, the representation of another's work as one's own when it occurs other than in the course of research.
- Failure to follow required protocols in conducting research, such as adhering to procedures for the protection of human or animal subjects of research;
- Falsification of one's credentials
- Retaliation against persons who file claims of academic misconduct
- Falsification or intentional misrepresentations of truth in teaching.

Approved by the Faculty Senate on 3/6/2012; Approved by the president and provost on 4/10/2012. Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

##### **7.2.2.4.2 Research Misconduct**

Research misconduct, specifically as defined in federal regulations, consists of any of the following:

- Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results
- Plagiarism, the representation of another's work as one's own when it occurs in the course of research
- Ordering, advising or suggesting that subordinates engage in any practice constituting research misconduct.



At Iowa State University any other misconduct involving research will be treated as academic misconduct.

Research misconduct must depart significantly from accepted practices of the relevant research community and must be committed intentionally, knowingly, or recklessly. If a faculty member is alleged to have engaged in research misconduct, then the procedures set forth in the University's [Research Misconduct Policy \(see Policy Library\)](#) shall be followed unless determined otherwise by the University's Research Integrity Officer (RIO).

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.2.5 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.

### **7.2.2.6 Violation of Other University Principles and Policies**

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

#### **7.2.2.6.1 Unacceptable Performance of Duty**

These procedures are intended only in cases for which dismissal for unacceptable performance of duty may be contemplated after reasonable documented efforts have been made by department, college and University administrators to resolve concerns about unacceptable performance according to the University's policies governing faculty performance.

A faculty member's performance of duty may be deemed unacceptable if there has been, for a significant period of time (most recent three to five years), substantial, persistent and manifest neglect of faculty duties as presented in the faculty member's position responsibility statement and as reflected in the written record. The written record will include the position responsibility statement, annual evaluations, current curriculum vitae, and at least one completed post-tenure review (for tenured faculty) or peer review (for pre-tenure or term faculty) within the time frame in question. The written record may also include any written correspondence over the past three to five years between the department chair and the individual dealing with performance of duties and any written correspondence between the individual and the relevant dean or the senior vice president and provost dealing with performance of duties.

The college dean shall make a complaint of unacceptable performance of duty based on the written record.

To initiate the formal complaint procedure of unacceptable performance of duty, the college dean will file a written complaint with the Office of the Senior Vice President and Provost by setting forth in writing the specific findings of unacceptable performance of duty. The dean's notification shall include the entire written record and a review of the efforts that have been made to resolve the matter, including the use of any established post-tenure review procedures of the college and department(s) in question. Upon receipt of a complaint, the senior vice president and provost and the President of the Faculty Senate will immediately evaluate the complaint to determine whether the complaint has been properly filed. If filed properly, Faculty Conduct Policy ([FH Section 7.2.5.1.3](#)) (Initial steps by the senior vice president and provost) triggers the formal Complaint Review and Resolution procedures, ([FH Section 7.2.5.2](#)).

Approved by Faculty Senate (April 19, 2011); by president and provost (April 22, 2011).  
Amended and approved by Faculty Senate 12/12/17; by the Senior Vice President and Provost 12/14/17;  
and the ISU President 12/15/17.

#### **7.2.2.6.2 Abandonment of Position**

Faculty members who substantially fail to perform their position responsibilities and show disregard and lack of care for the accomplishment of their responsibilities have abandoned their positions. Failure to address reasonable requests to perform position responsibilities in a timely manner, especially those related to schedule-driven responsibilities such as teaching and extension/outreach, shall be regarded as evidence of abandonment of position. In cases of abandonment, salary may be suspended by the senior vice president and provost upon recommendation of a Faculty Review Board as provided under ([FH Section 7.2.5.1.4](#)).

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.2.6.3 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.

#### **7.2.2.6.4 Acceptable Use of Information Technology Resources**

Computational equipment has become a valuable tool for carrying out the mission of the institution. Faculty are expected to adhere to the university's policy on the [Acceptable Use of Information Technology Resources in the Policy Library](#). 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.

#### **7.2.2.6.5 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, see [the Office of the Registrar policies](#).

#### **7.2.2.6.6 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.

#### **7.2.2.6.7 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.

#### **7.2.2.6.8 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.

#### **7.2.2.6.9 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 themselves under circumstances where the faculty member may incriminate themselves by testifying.

#### **7.2.2.6.10 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. See policy on [Personal Use and Misuse of University Property in the Policy Library](#).

#### **7.2.2.6.11 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.

#### **7.2.2.6.12 Other Policies**

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

- Drug and Alcohol Free Workplace. ([FH Section 8.4.3](#))
- Occupational Safety Policy. ([FH Section 8.4.4](#))
- The [Board of Regents Policy Manual, Policy Library](#), and the Uniform Rules of Personal Conduct ([Iowa Administrative Code, section 681, Chapter 9](#)).

### **7.2.3 Addressing Claims of Faculty Misconduct**

Conflicts or concerns that arise during the day-to-day functioning of the university are usually addressed through administrative channels and involves bringing the concern(s) to the attention of the appropriate administrator charged with responsibility for that academic unit (e.g., chair, dean, or senior vice president and provost). Any 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 appropriate administrative action to resolve concerns. If the complaint involves activities which are prohibited by the University's [Discrimination and Harassment Policy \(see Policy Library\)](#), the administrator must notify the Office of Equal Opportunity (OEO) 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 FH Section 7.2.4](#)) or the Formal Process ([see FH Section 7.2.5](#)) delineated in this document, or informally through the Ombuds Office. The Voluntary Mediated Process is used to consider and resolve misconduct issues through mediated discussion with all 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 misconduct issues identified in this policy and are not intended to address grievances ([FH Chapter 9](#)).

If an individual has a concern that research misconduct has occurred, the individual is encouraged to report such misconduct to the University's Research Integrity Officer (RIO) in accordance with the University's [Research Misconduct Policy \(see Policy Library\)](#).

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **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 Senior Vice President and 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 ([FH Section 7.2.5.1.3](#)), the senior vice president and 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 senior vice president and 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 senior vice president and 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 of a formal complaint is to determine the truth and to recommend and apply remedies and sanctions in keeping with the freedoms and responsibilities of academic freedom and the university environment.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.5.1 Filing Formal Complaints**

To initiate the formal complaint, the complainant will file a written complaint with the appropriate administrative officer as indicated below. Multiple complaints arising out of

the same alleged misconduct, or a pattern of alleged misconduct, should be consolidated into a single complaint.

The complainant may be an individual affected by the alleged misconduct, or an administrator or other person to whom an affected individual has referred information regarding the alleged misconduct. For purposes of the Faculty Conduct Policy, an affected individual allegedly harmed by the conduct, but is not the complainant shall be known as “the referring party.”

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

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

The complaint should include:

- The name, address, and telephone number of the complainant
- The name of the referring party, if any
- The name and office of the individual(s) alleged to have engaged in misconduct
- A short, plain statement describing the alleged misconduct
- The approximate date(s) on which the misconduct 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 by the alleged misconduct
- Any other information which will assist in the peer investigation and resolution of the complaint
- The signature of the complainant

Complaints may also suggest 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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **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 alleged misconduct may be filed with the Office of the Senior Vice President and Provost
- Complaints involving alleged research misconduct ([FH Section 7.2.2.4](#)) may be filed with the Research Integrity Officer (RIO).
  - If the complaint is found to involve issues other than research misconduct, the RIO must inform the senior vice president and provost within one day
- Discrimination complaints, including those involving sexual, racial, ethnic or other harassment may be filed with the Office of Equal Opportunity.

- The Office of Equal Opportunity must inform the senior vice president and provost of discrimination complaints against a faculty member within one day

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.5.1.3 Initial Steps to be taken by Senior Vice President and Provost**

Upon receipt of a complaint, the senior vice president and 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 as described in Chapter 9 of the Faculty Handbook, they will decline to consider the case as alleged misconduct and the complainant will be directed to appropriate channels to seek resolution of the complaint.

Complaints of alleged research misconduct, as defined by [FH Section 7.2.2.4](#), will be referred to the Research Integrity Officer (RIO) to be handled under the [Research Misconduct Policy](#) (see Policy Library). If the RIO determines, as a result of an assessment of the complaint, that the matter should not proceed under the Research Misconduct Policy, the RIO shall then refer the matter back to the senior vice president and provost indicating the reason that the Research Misconduct Policy should not be invoked. If appropriate, the complaint will then be handled as a faculty conduct complaint as provided below.

In the case of complaints deemed to require a research misconduct inquiry, but which also involve other types of misconduct, the senior vice president and provost and RIO will meet and issue a determination as to handling of the complaint. The senior vice president and provost may delegate complaints of combined alleged research and academic misconduct to the RIO for handling in accordance with the [Research Misconduct Policy \(see Policy Library\)](#).

If a complaint is determined to be properly filed under this chapter, the senior vice president and provost will immediately evaluate, in consultation with the respondent's chair, and in appropriate cases, the Equal Opportunity Officer (for discrimination complaints) or the RIO (for research misconduct cases) whether interim action should be taken in accordance with the following section on interim action ([FH Section 7.2.5.1.4](#)).

The senior vice president and 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 their 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 senior vice president and provost may direct the parties to participate in mediation, recognizing that not all cases will be appropriate for mediation. If the senior vice president and provost recommends mediation of the issue(s), the timelines detailed in this chapter shall be suspended pending the outcome of mediation.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.5.1.4 Interim Action**

There may be instances in which the senior vice president and provost needs to take interim action pending investigation of the case or prior to the filing of a formal complaint. The senior vice president and provost may take interim action after consulting the faculty senate president 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 their collaborators and associates
- There is a need to preserve evidence 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 respondent. The interim action should not be considered in and of itself a sanction. Interim action may include:

- Restrictions on contact with persons involved in the complaint
- Limitation on access to certain areas of the campus
- Reassignment of duties
- Partial or total administrative leave with pay
- Directives to preserve or grant access to evidence or records related to the allegations
- Direction on conduct of activities
- Restrictions on university-related travel

In cases of emergency or the need to preserve evidence or records, the senior vice president and provost shall make a good faith effort to implement interim action through discussion with the complainant and, if appropriate, the referring party and the respondent prior to taking any interim action. If an agreement with the respondent is not reached, the senior vice president and provost may nevertheless impose interim actions. The senior vice president and provost will inform the chair and dean of the respondent faculty member of any interim action that is being taken. The senior vice president and 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 senior vice president and provost.

In cases where the senior vice president and provost has taken interim action prior to the filing of a formal complaint, the president of the Faculty Senate will be notified. In these cases, the formal complaint must be filed with the appropriate administrative officer within 10 calendar days of the effective date of the interim action. In the case of a complaint under investigation by the Office of Equal Opportunity (OEO), the formal faculty conduct complaint must be filed within 10 calendar days after the conclusion of the OEO investigation. If the 10<sup>th</sup> calendar day falls on a Saturday or Sunday, the deadline shall extend to the next calendar day that is not a weekend or university holiday.

If no formal complaint is filed within the appropriate period, the senior vice present and provost shall remove the 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 senior vice president and provost. As indicated below, the Faculty Review Board will review all interim action.

When the faculty member has been charged with abandonment of position ([FH Section 7.2.2.6.2](#)) and has not presented themselves as ready to perform duties, the Faculty Review Board may recommend to the senior vice president and provost the suspension of salary for the duration of the process.

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Amended and approved by the Faculty Senate on 4/3/2018; the Senior Vice President and Provost on 4/5/2018; and the ISU President on 4/8/2018.

## **7.2.5.2 Complaint Review and Resolution**

### **7.2.5.2.1 Faculty Review Board**

The senior vice president and provost will call for the formation of a Faculty Review Board (FRB) within two days after consultation with the Faculty Senate President. If mediation was recommended and the senior vice president and provost receives notice that mediation was unsuccessful, the senior vice president and provost will call for the formation of a Faculty Review Board 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 senior vice president and provost. The Faculty Senate president will review the complaint and any additional pertinent information provided by the senior vice president and provost before making the faculty nominations to serve on the FRB. The Faculty Senate president and the senior vice president and provost will seek an objective FRB with sufficient depth of expertise and experience to understand and objectively act upon the issues detailed in the complaint. The FRB members should not have any real or apparent conflict of interest in the complaint. At

least two of the three FRB members must be of an equal or higher rank than that of the respondent. In the unusual circumstance that appropriate FRB membership is not available from the faculty pool, the Faculty Senate president will nominate additional members from the tenured faculty for confirmation by the senior vice president and provost to serve on the FRB. The complainant and the respondent have the right to challenge the nominees to the FRB. Challenges must be made in writing no more than two days following the naming of the nominees. The Faculty Senate president and the senior vice president and provost will determine the standing of the challenges. If nominees are successfully challenged the Faculty Senate president will submit additional FRB nominees until three members are confirmed. The Faculty Senate president and the senior vice president and provost will jointly name the chair of the FRB.

The FRB will assess any interim action taken by the senior vice president and provost and will confer on whether this action should continue and/or whether any further or additional interim action is needed. The FRB may make recommendations to the senior vice president and provost regarding further and additional interim action.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.5.2.2 Investigation of the Case**

The Faculty Review Board (FRB) and the senior vice president and provost will decide on the nature and scope of the investigation and on the individual(s) who will carry out the investigation. The FRB may investigate the complaint itself or work in conjunction with one or more university or external investigators, appointed through the senior vice president and provost and approved by the FRB.

An investigative report will be prepared by the party or parties conducting the investigation within thirty (30) days of the first meeting of the FRB. If the FRB is working with one or more investigators, the investigators shall submit the investigative report to the chair of the FRB. Extensions of this thirty-day period may be granted only for a fixed period of time and only for specific detailed reasons. The party or parties conducting the investigation may submit a written request for an extension of this thirty-day period to the chair of the FRB who will transmit the request along with their recommendation to the senior vice president and provost and the Faculty Senate president, who will jointly decide whether the extension should be granted. If the FRB conducts its own investigation, the chair shall submit the written request for extension to the senior vice president and provost and the Faculty Senate president. If an extension is granted, the FRB chair will inform all relevant parties of the extension. All subsequent timelines and deadlines will necessarily be extended by the granting of this or any other extension.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.5.2.3 Investigative Report**

Once the Faculty Review Board (FRB) has reviewed and is satisfied with the investigative report, the FRB will submit the report to the complainant and the respondent for comments. All parties will have a period of seven (7) days to provide a response, if any, to the FRB. The FRB shall review the responses from the parties and change the investigative report as deemed necessary. If changes are made to the investigative report, the FRB will not seek additional comments or responses from the complainant and respondent unless it is warranted under the circumstances. Upon receipt of responses from all parties, or after seven (7) days, the FRB will meet and will issue a report making one of three recommendations for actions by the senior vice president and provost based on a simple majority vote: (1) to dismiss the charges and hold no hearing, (2) to hold a Minor Sanction Hearing, or (3) to recommend that the complaint be referred to a Major Sanction Committee. The FRB report shall be issued within 10 days of receipt of responses, or within 10 days of the completion of the seven (7) day period for responses, if no responses are received.

If the FRB decides to recommend dismissal of the charges without a hearing, it will summarize its reasons. A recommendation to dismiss is only permissible if the FRB finds no violation of the Faculty Conduct Policy by the respondent. If the FRB recommends a minor sanction hearing, and the senior vice president and provost accepts the recommendation, the FRB will inform all relevant parties and schedule the hearing. If the FRB recommends that the complaint be referred to a Major Sanction Committee, they will submit this recommendation to the senior vice president and provost along with their reasons for the recommendation. If the FRB 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 FRB concludes there is need for further interim action, they shall make a recommendation to the senior vice president and provost. If the senior vice president and provost disagrees, they may make a recommendation to the president of the university.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.5.2.4 Minor Sanction Hearing**

In conducting a Minor Sanction Hearing, the Faculty Review Board (FRB) 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 FRB may receive additional evidence related to the charges for which the hearing is being held from the respondent and the complainant, will hear rebuttals of evidence presented by either party, and may call and question witnesses (including the referring party, if any) on its own behalf. During the hearing all questions, comments, or statements will be addressed to the

FRB. The FRB may, at its discretion, allow alternate forms of witness testimony. The respondent may choose to waive their right to a formal hearing and allow a written statement to constitute the defense. The respondent and the complainant may have a support person present at the hearing, but the support person 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 FRB 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 FRB shall consult with the senior vice president and 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 senior vice president and provost shall have the authority to approve additional charges and to reasonably extend deadlines if necessary to investigate the additional charges.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.5.2.5 Post-hearing Report**

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

- If the FRB decides that the evidence is not credible or does not sufficiently support the charge the FRB may recommend that the case be dismissed
- If the FRB decides that the evidence is credible and that it supports the case, the FRB may recommend the minor sanction to be imposed resulting in the senior vice president and provost imposing the minor sanction or sanctions or that non-disciplinary corrective action be taken
- If the FRB decides that the evidence is credible and that there is a clear and compelling case to warrant a major sanction or sanctions, the FRB may recommend that the senior vice president and provost refer the complaint to a Major Sanction Committee.

The FRB will articulate in the post-hearing report the reasons for making their recommendation. The FRB may also make a recommendation about interim actions during the remainder of the process. The FRB post-hearing report will be sent to the respondent and the complainant, who will have ten days to respond. The FRB shall review the responses from the parties, if any, and consider whether changes to the post-hearing report are necessary. If changes are made to the post-hearing report, the FRB will not seek additional comments or responses from the parties unless it is warranted under the circumstances. After receipt of the responses, or after ten days, the FRB will submit the final post-hearing report and any responses received from the complainant and respondent

to the senior vice president and provost. The respondent and the complainant will receive copies of the final post-hearing report from the senior vice president and provost. The chair and dean of the respondent will also be notified by the senior vice president and provost that the final post-hearing report has been submitted.

The FRB will issue their final post-hearing report within 60 days of the first meeting of the FRB. The FRB 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 the senior vice president and provost and the Faculty Senate president.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.5.2.6 Response of the Senior Vice President and Provost to the Final Post-Hearing Report**

The senior vice president and provost will have fifteen (15) days to respond to the final post-hearing Faculty Review Board (FRB) report. The senior vice president and provost will review the results of the investigation and the recommendation of the FRB and will decide whether to accept the recommendation. If the senior vice president and provost disagrees with the FRB recommendation, the senior vice president and provost must meet with the FRB to discuss the reasons for the disagreement before taking any action. If the senior vice president and provost is issuing the final decision in a minor sanction case, the senior vice president and provost's report will describe what sanction(s) are to be imposed, or the nature of any non-disciplinary corrective action to be taken.

The senior vice president and provost will submit to the chair FRB, the respondent, the complainant, and the referring party, if any, a final report containing their decision, and the reasons underlying that decision. The respondent and complainant or referring party (as appropriate) shall be informed of the option to appeal as provided in ([FH Section 7.2.6.1](#)). No public statement about the hearing or about the FRB recommendations will be disseminated. Public announcement of the findings and recommendations will be made at the discretion of the senior vice president and provost.

The senior vice president and provost will inform the chair and dean of the disposition of the case. The senior vice president and provost will undertake all reasonable measures to prevent retaliation against the complainant, the referring party, if any, or individuals who assisted in or participated in the misconduct complaint process.

All proceedings will be confidential to preserve the integrity of the investigation and those involved. If the complaint is dismissed the senior vice president and 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.

When appropriate, the senior vice president and provost will submit a report to the Research Integrity Officer (RIO) 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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.5.3 Major Sanction Process**

The Major Sanction Process shall begin when the senior vice president and provost files a Statement of Charges with the Office of the President, with a copy sent to the complainant, the referring party, if any, 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 senior vice president and provost or designee. The individual presenting the case for discipline shall be known as “the complainant.” The complainant shall inform and consult with the referring party (if any referring party wishes to participate) during the process. The Major Sanction Process is administered by the Office of the President.

Approved as revised by the Faculty Senate on 1/16/18, by the ISU president on 1/19/18, by the senior vice president and provost on 2/18/18. Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

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

The senior vice president and provost will notify the president of the University who 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 qualified faculty 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 complainant or referring party, if any, and the respondent faculty member each have the option of one preemptory challenge from the list so Major Sanction 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 higher rank to respondent and, except in unusual circumstances, no member of the respondent's department shall serve on this committee. The Faculty Senate president 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 president 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 senior vice president and provost will assist the chair and dean in ensuring that there will be as little disruption of the teaching, research, extension 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 file a written 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 their defense.

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#### **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 final post-hearing report of the Faculty Review Board who presided over the Minor Sanction Hearing, 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 their right to a formal hearing, the Major Sanction Committee shall determine an appropriate recommendation on the basis of available information.

The Major Sanction Committee shall apprise the president and when appropriate, the Research Integrity Officer (RIO), 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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.5.3.3 Procedures Applicable to the Major Sanction 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 Major Sanction 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
  - The referring party 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 complainant
  - Opening statement of the respondent
  - Witnesses and evidence of the complainant
  - Witnesses and evidence of the respondent
  - Rebuttal witnesses and other evidence of the complainant
  - Rebuttal witnesses and other evidence of the respondent
  - Closing statement of the complainant
  - 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 Major Sanction Committee 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 days and forward its recommendation to the president.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **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(s) 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 one or more minor sanctions or that non-disciplinary 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 one or more major sanctions

The Major Sanction committee report will contain a description of the findings of fact and recommendations, together with the record, if requested by the complainant and/or the respondent. The report will be sent to the respondent and the complainant, who will have ten days to respond in writing to the report. The Major Sanction Committee shall review

the responses from the parties and consider whether changes to the report are necessary. If changes are made to the report, the Major Sanction Committee will not seek additional comments or responses from the respondent and complainant unless it is warranted under the circumstances. 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 of the respondent that the report has been submitted. The president must meet with the Major Sanction Committee to discuss the recommendation.

Should the entire investigation, deliberation, and Major Sanction Committee 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 office of research integrity (ORI) of any extension, if applicable. 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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.5.3.5 Response of the President to Major Sanction Committee Report**

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 complainant, the respondent, the referring party if any, and where appropriate, the RIO a final report containing their 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. The president shall set the effective date of any sanction. The respondent and referring party shall be informed of the option to appeal as provided under the [Board of Regents Policy Manual, Section 1.7 Appeals to the Board, 3.A](#). The president shall have the power to continue interim action pending the effective date, and will undertake 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 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 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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.5.4 Records**

In all cases of formal complaints, the Office of the Senior Vice President and Provost shall maintain the record of the case for a minimum of three years. The record shall include the complaint, the report of the investigation, the Faculty Review Board Minor Sanction Hearing report, the senior vice president and provost response, the Major Sanction Committee report, the response of the respondent and the complainant, and referring party if any, the senior vice president and provost response to the Major Sanction Committee report, correspondence from the respondent, complainant, referring party, if any, the statement of charges in a Major Sanction Case, the president report in a Major Sanction case, and appeal to the president, response to the appeal, recommended decision by a person designated to review the appeal and decision upon an appeal. At the close of a case, members of the Faculty Review Board and, if applicable, the Major Sanction Committee, shall turn all documents over to the senior vice president and provost.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **7.2.6 Processes for Appeal**

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. Persons hearing appeals have the discretion to not review concerns about the hearing procedures not raised during the initial hearing process. Simultaneous appeals cannot be made on the same case.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

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

The final decision of the senior vice president and provost may be appealed by the respondent, the complainant, or referring party, if any, in writing to the president within 20 days following receipt of the senior vice president and provost decision. The appeal should include a statement of reasons for the appeal, with references to the evidence that supports the appeal.

The respondent may request the president to delay imposition of the sanction by the senior vice president and provost. The request for delay must be included in the respondent appeal and be accompanied by statement of the reasons for the request. If the delay is granted, the president may continue interim action in place, or may impose interim action appropriate to the circumstances.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

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

Final decisions of the president may be appealed to the Board of Regents under appropriate section of the [Board of Regents Policy Manual, Section 1.7 Appeals to the Board, 3.A.](#)

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

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

Final 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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.6.4 Request to Reopen**

The respondent may request to have their 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
- 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 senior vice president and provost for minor sanctions or to the president for major sanctions.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **7.2.6.5 Faculty Senate Appeals**

The respondent may file an appeal with the Faculty Senate Judiciary and Appeals Council if they believe 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 senior vice president and 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 Faculty Member**

Reference to "faculty" includes all members of the faculty as defined in Article I of the [Faculty Senate Constitution on the Faculty Senate website](#). This includes individuals simultaneously holding faculty rank and administrative positions. All faculty members who hold administrative appointments whose titles contain the term president, senior vice president and 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.

#### **7.2.7.3 Faculty Panels**

A pool of at least 25 tenured faculty members will be identified by the Faculty Senate President and confirmed by the senior vice president and 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 senior vice president and 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 9 month contract.

#### **7.2.7.4 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.

#### **7.2.7.5 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.

#### **7.2.7.6 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.

#### **7.2.7.7 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.

#### **7.2.7.8 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 senior vice president and provost on September 18, 2007.

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## **Faculty Handbook Chapter 8. University Community Policies**

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

### **8.1 Introduction**

The *Faculty Handbook* is the official statement of ISU policy governing the rights, responsibilities, and performance of faculty. Faculty (and other university employees) are also subject to policies contained in the *ISU Policy Library*. Policies in the *Policy Library* are the current official statements of university policy of general applicability from across ISU and present non-discretionary expectations that describe accepted standards of conduct, criteria for granting privileges or benefits, or the means of conducting university-related activities. The policies listed in Chapter Eight are found in their entirety in the *Policy Library* or the *Iowa Code* and take precedence over the *Faculty Handbook*.

### **8.2 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 Policy Manual on the Board of Regents website](#) and [the Iowa Administrative Code on the Iowa Legislature website](#). Violation of these policies, may be considered faculty misconduct and will be dealt with following the procedures in the faculty conduct policy.

### **8.3 Policies on Personal Conduct**

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

#### **8.3.1 Policy on Discrimination and Harassment**

Iowa State University's [Discrimination and Harassment Policy in the Policy Library](#) prohibits all members of the University community to engage in actions defined as harassment. The complete policy is located at <https://www.policy.iastate.edu/policy/discrimination>

#### **8.3.2 Policy on Conflict of Interest and Commitment**

Iowa State University requires the disclosure, review/approval, and management of external activities or financial interests with the potential to interfere with one or more



of the following: (1) performance of duties, (2) objectivity, and (3) appropriate use of state resources.

All university employees are required to comply with the Conflicts of Interest and Commitment Policy in the Policy Library. The complete policy is located at <https://www.policy.iastate.edu/policy/conflict>

Violations of the COIC Policy may be considered faculty misconduct, see [FH Section 7.2.2.1](#).

Section 8.2.2 was approved by the Faculty Senate on 11/07/95.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **8.3.2.1 Special Cases: Employee-Owned Companies**

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 and Commitment Policy in the Policy Library. The complete policy is located at <https://www.policy.iastate.edu/policy/conflict>

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **8.3.2.2 Remedies**

It is the responsibility of every university employee covered by the [Conflict of Interest and Commitment Policy](#) to fully disclose the nature and degree of any conflicts of interest and conflicts of commitment, as defined in the policy. The disclosures must be made prior to initiating the activity, annually, and whenever the employee's situation changes. The appropriate method of disclosure varies with the type of activity as described in the [Procedures, Applications, and Guidance](#). The complete policy is located at <https://www.policy.iastate.edu/policy/conflict>

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **8.3.2.3 Sanctions**

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. ([FH Section 7.2.3](#)). The complete policy is located at <https://www.policy.iastate.edu/policy/conflict>.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **8.3.3 Acceptable Use of Information Technology Resources**

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 Acceptable Use of Information Technology Resources Policy in the Policy Library (<https://www.policy.iastate.edu/acceptableuse>).

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."

Section 8.2.3 was endorsed by the Faculty Senate on 5/05/92.

## **8.4 Policies on Professional Activity**

### **8.4.1 Sponsored Funding of Projects**

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. The complete policy is located at <https://www.policy.iastate.edu/policy/research/authority>.

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.

#### **8.4.1.1 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 in the Policy Library](#).

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.

#### **8.4.1.2 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.

##### **8.4.1.2.1 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:

- [Gift or Sponsored Project? on the Office of Sponsored Programs Administration](#)
- [Research Objectives and Responsibilities in the Policy Library](#)
- [Sponsored Programs Authority in the Policy Library](#)

#### **8.4.1.2.2 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 by the Senior 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. The complete policy may be found at <https://www.policy.iastate.edu/policy/restrictions/researchresult>.

#### **8.4.1.2.3 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, by the Senior 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:

- [Restrictions on Reporting Research Results in the Policy Library](#)
- [Export Controls in the Policy Library](#)

#### **8.4.1.2.4 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.

#### **8.4.1.2.5 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. The complete policy may be found at <https://www.controller.iastate.edu/far/feeforservice.htm>.

#### **8.4.1.2.6 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 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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

#### **8.4.2 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. The complete policy may be found at <https://www.policy.iastate.edu/policy/animalsubjects>.

#### **8.4.3 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. The complete policy is available at <https://www.ospa.iastate.edu/>.

#### **8.4.4 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.

The complete policy is available at <https://www.policy.iastate.edu/policy/restrictions/researchresults>.

### **8.4.5 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.

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 their department chair. 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.

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.

Additional information can be found at the following sites:

- [Conflict of Interest and Commitment in the Policy Library](#)
- COIC Policy and the [Procedures, Applications, and Guidance document](#)
- [Faculty Handbook, Section 7.2.2.1](#)
- [Office of Intellectual Property and Transfer Policies and FH 8.3.6.5](#)

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 senior vice president and provost.

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.

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

## **8.4.6 Purchases of Goods or Services from Employees**

### **8.4.6.1 Conflict of Interest Vendors**

Iowa State University promotes ethical business practices, professional integrity and objectivity in all procurement transactions conducted by its employees. The university is committed to complying with applicable procurement laws and regulations, including requirements that apply to conflicts of interest, as provided by the following:

- Iowa Code
- Iowa Administrative Code
- Board of Regents, State of Iowa
- Federal Office of Management and Budget (OMB) Circular A-110
- Federal Acquisitions Regulations, when applicable

Any "employee" (see definitions in policy statement), seeking to sell goods or services to any Regent institution, either directly or indirectly, shall request and receive authorization for such activity. For the specific policy that governs this activity, see the [Policy Library for the policy on Conflict of Interest Vendors/Employees, Procurement Policy](#).

Approved as revised by the Faculty Senate on 1/21/2014; by the president on 2/2/14; and by the senior vice president and provost on 1/30/14.

### **8.4.7 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.

## **8.5 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. The *United States Code*, *Iowa Code*, *Iowa Administrative Code*, and *Board of Regents Policy Manual* can be found online.

All university employees are responsible for abiding by the university's official policies presented in the University Policy Library. 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*.

### **8.5.1 Non-Discrimination/Affirmative Action Policy**

The complete policy regarding non-discrimination is available at <https://www.policy.iastate.edu/policy/personnel-conduct-human-relations>.

The complete policy regarding affirmative action is available at <https://www.policy.iastate.edu/policy/aa>.

Approved by the Faculty Senate on October 9, 2007, and by the president and provost on October 26, 2007. Reaffirmation 6/1/98 and 11/14/06.

#### **8.5.1.2 Sources of Support**

The Office of Equal Opportunity is responsible for handling complaints of discrimination based on race, ethnicity, sex, pregnancy, color, religion, national origin, physical or mental disability, age (40 and over), marital status, sexual orientation, gender identity, genetic information, status as a U.S. veteran (disabled, Vietnam, or other), or other protected class. Questions regarding complaints and/or issues involving affirmative action or equal opportunity should be directed to the [Office of Equal Opportunity](#).

The Margaret Sloss Center for Women and Gender Equity is responsible for promoting the development of all individuals to their fullest potential and for enhancing the university's learning environment by fostering intellectual growth and providing a supportive environment for students, faculty, and staff.

Three university-wide committees with representation of faculty, staff, and students have been established to assist the administration in its efforts toward continual improvement of equal opportunity.

- The University Committee on Disabilities is responsible for sharing knowledge concerning disabilities with the university community, for fostering awareness of the needs of persons with disabilities, and for advocating ways to meet those needs.



- The University Vice President for Diversity and Inclusion (VPDI) Council is responsible for assessing campus climate and making recommendations for improvement.
- The University Committee on Women and Gender Equity 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.

## **8.5.2 Inclusive Language Policy**

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. See [Inclusive Language Policy in the Policy Library](#).

Section 8.4.2 was approved by the Faculty Senate on 4/14/92.

### **8.5.2.1 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.

### **8.5.2.2 Sources of Information**

The Office of Equal Opportunity, the Margaret Sloss Center for Women and Gender Equity, the Multicultural Student Affairs Office, the Dean of Students Office, the Office of the Senior Vice President and Provost, and the Office of the President shall address concerns and supply guidance as requested and appropriate.

## **8.5.3 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. [Drug Free Workplace Policy in the Policy Library](#).

## **8.5.4 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.

The complete policy is available at <https://www.policy.iastate.edu/policy/accident>.

### **8.5.5 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 - Smoking Policy](#).

Approved as amended by the Faculty Senate April 24, 2007

### **8.5.6 Travel Regulations**

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

The complete policy is available at

<https://www.policy.iastate.edu/policy/travel/authorization>.

### **8.5.7 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. [Gifts Policy in the Policy Library](#).

### **8.5.8 Policy Regarding Open Meetings at Iowa State**

Although the University promotes the principle of open meetings, state law does not require that university committee meetings be open to the public, except for the Athletic Council, the Leopold Center Advisory Board and other specific bodies listed in the open meetings law. Information on the open meetings law is available at <https://ifoic.org/open-meetings-open-records-handbook/>

Approved by the Faculty Senate (February 16, 2010); by the president and provost (February 22, 2010).

### **8.5.9 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 their 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](#)

The complete policy is available at

<https://www.policy.iastate.edu/policy/insurance/liability>.

### **8.5.10 Policy and Information References**

The [Iowa State University Catalog](#), revised every year, 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](#) 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](#) provides a description of university structure, function, policies, and procedures. It is revised every year under the supervision of the senior vice president and provost. It is available online and is furnished to each department and to each member of the faculty who requests it.

The [University Policy Library](#) Policies in the Policy Library are the current official statements of university policy of general applicability from across Iowa State University.

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 chief financial officer 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 senior vice president for university services. See Iowa Legislature – Statutory Law.

Chapter 8 was revised and approved by the Faculty Senate on 12/14/21; the Senior Vice President and Provost on 12/17/21; and the ISU President on 12/21/21.

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## **Faculty Handbook Chapter 9. Faculty Grievance Procedures**

Approved by Faculty Senate 4/7/2009; approved by president and provost 4/21/2009.

### **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 must be based on one of the following four grounds: 1) improper procedures were followed, 2) academic freedoms or constitutional rights were violated, 3) policy was interpreted improperly, or 4) arbitrary and capricious criteria were employed in recommending the action being appealed. The burden of proof for documenting the grounds for the appeal is the responsibility of the appellant. The Faculty Handbook ([FH Section 5.2.4.4.5](#)) describes 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 Types of Appointments ([FH Section 3.3](#)), for further information on types of faculty appointments. Appeals must be initiated no more than 30 days following the occurrence of the last event or events that are being appealed. ([See FH Section 2.9.1 defining days](#)). 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.

Amended and approved by the Faculty Senate on 5/2/17; the Senior Vice President and Provost on 5/23/17; and the ISU President on 5/29/17.

## **9.2 Appeal through Administrative Channels**

An appeal through administrative channels is initiated when a written appeal, that states the case with (supporting evidence documenting that the appeal is based on one or more of the four possible grounds stated in FH Section 9.1), that names the appellee(s), and that requests 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 senior vice president and provost, the president, or the Board of Regents. Administrative offices may require the appeal to follow a specific structure or form to ensure that all relevant information is provided. Appeals may be initiated at any calendar time within 30 days of the action or decision being contested. Appeals to the Board of Regents must be initiated within 10 calendar days of the final institutional decision. If, in the judgment of the senior vice president and provost, the grounds for the appeal are unclear, the senior vice president and provost shall consult with the president of the faculty senate and the chairperson of the Faculty Senate Committee on Appeals on whether or not the senior vice president and provost will consider the case. Consensus is required for a case not to be considered. Appeals presented initially to the senior vice president and provost or president may be referred to the Faculty Senate Committee on Appeals, where they will be

treated as described below. (See [FH 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 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 days to appeal the decision to the next administrative level or the FSCA, as described in ([FH 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 senior vice president and provost is obtained. An appeal through administrative channels may be withdrawn by the appellant(s) any time before the response is received.

Amended and approved by the Faculty Senate on 5/2/17; the Senior Vice President and Provost on 5/23/17; and the ISU President on 5/29/17.

## **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 senior vice president and provost. If the senior vice president and 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 [FH 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 they are or have 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 days of the action/decision being contested. ([See FH Section 2.9.1 defining days](#)), 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 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 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 days of the acceptance of an appeal by the committee, the FSCA chairperson shall appoint an Ad Hoc Investigative Committee (AHIC) of three. The FSCA chairperson should give consideration to the diversity of the AHIC. 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 days of notification of the committee membership. The FSCA chairperson chooses replacement member(s). The appellee(s) has 10 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).

Approved as revised by the Faculty Senate on January 21, 2014; by the president on 2/2/14; and the senior vice president and provost on 1/30/14.

### **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 days ([FH Section 2.9.1](#)), 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 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 days ([FH Section 2.9.1](#)) 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 senior vice president and provost within five 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 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 Senior Vice President and Provost and President**

After review of the FSCA report and holding any additional necessary interviews, the senior vice president and 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 senior vice president and provost rejects or only partially accepts the recommendations, written reasons must be provided to the FSCA. The senior vice president and 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 days from the date of submission of the FSCA recommendations. The chairperson shall inform the FSCA of the response by the senior vice president and provost. If the senior vice president and provost denies the appeal, the appellant(s) has 15 days to appeal the senior vice president and provost's decision to the president.

#### **9.3.6.1 Appeal of an Action of the Senior Vice President and Provost**

In cases where the faculty member is appealing an action of the senior vice president and provost, the final disposition of the appeal, rests with the president. The FSCA report and recommendations to the president will be sent to the senior vice president and provost for reconsideration of the initial decision. If the senior vice president and provost's decision is unchanged, the senior vice president and provost's report and recommendation will be forwarded to the president with the FSCA recommendation and all materials related to the

appeal within 10 days from receipt of the FSCA report. The president's report containing their decision shall be sent to the appellant(s), appellee(s), the senior vice president and provost, and the chairperson of the FSCA within 15 days from the receipt of the senior vice president and 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 10 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 their decision. The FSCA report and the president's report will be forwarded to the Board of Regents within 15 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 ([FH 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 senior vice president and 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 senior vice president and 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 Senior Vice President and Provost for inclusion in the *Faculty Handbook*.

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## Faculty Handbook Chapter 10. Instruction

### 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](#), the [Schedule of Classes](#), the [Dean of Students Office website](#), and [AccessPlus](#). Resources for developing and improving teaching skills are available at the [Center for Excellence in Learning & Teaching](#). Policies and procedures concerning students with disabilities can be found at [Student Accessibility Services](#). The policies and procedures published in this section are those adopted or administered by the Faculty Senate.

### 10.2 Admissions Requirements

Iowa State University admissions requirements are set by the Board of Regents of the State of Iowa (see [ISU Catalog](#)).

Revisions approved by Faculty Senate on 4/21/2009 and by president and provost on 4/29/2009.

## **10.3 Student Academic Performance**

### **10.3.1 Special GPA Requirements**

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.

Section 10.3.1 was approved by the Faculty Senate on 10/14/1997.

## **10.4 Attendance Policies**

Section 10.4 was revised by the Faculty Senate 12/14/1999.

### **10.4.1 Class Attendance**

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 their 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 [Procedures for Requesting Accommodations for Disability or Religion on the Office of Equal Opportunity and Diversity Website](#).

Approved by the Faculty Senate on 3/4/2008 and by the president and provost on 3/24/2008.

### **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 Excusable Absences for Non-Curricular Reasons**

Students who miss class for non-curricular reasons are responsible for completing all assigned course requirements in a timely manner.

Instructors should provide timely opportunities for students to make-up or replace missed scheduled examinations and/or assignments resulting from an excusable absence. While instructors are free to change the format of make-up examinations or assignments, students will be evaluated by the same standards as other members of the class.

In all cases, the person responsible for the event or activity should provide participants with a letter explaining the proposed absence and its duration including travel times for off-campus events and activities. Students must provide this documentation to instructors at least 10 days in advance of the activity or event, except when such notice is not possible.

Course instructors retain final authority regarding student absences and how they impact course grades and the acceptability of a student's work toward passing their course. If a student must miss, for any reason, a portion of a course that, in the considered opinion of the course instructor, is critical to the student's ability to meet the course objectives, the instructor must recommend alternative actions to the student, which may include dropping the class.

#### **10.4.3.1 Extra-Curricular Activities as a Representative of the University**

Students may seek to or be asked to participate as an Iowa State University representative 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.

Instructors shall excuse students who miss class while representing Iowa State University in official department- or university-sponsored activities, including:

- a. academic or professional conferences and workshops
- b. intercollegiate athletic, academic, and judging competitions
- c. musical, theatrical, dance and other artistic performances
- d. presentations or programs given to external audiences

#### **10.4.3.2 Other Extra-Curricular Activities**

Instructors will determine whether other absences similar to those described in ([FH Section 10.4.3.1](#)), but which are not officially sponsored by a unit of the University (e.g., conference attendance, job interviews), will be treated as excused.

#### **10.4.3.3 Military Service**

Instructors shall excuse absences due to Veteran or military service obligations (including service-related medical appointments, military orders dictating appointments, and National Guard Service obligations). When a student's military or veteran obligations are for more than two weeks, the student should meet with their advisor to discuss the

situation and academic options and work with their instructors to discuss potential accommodations. University procedures are in place for such situations and should be followed. In all instances, students have a responsibility to communicate with their instructors to ensure they are continuing to meet course expectations and requirements. Faculty, staff and students are encouraged to utilize the ISU Veterans Center and review information at [veterans.iastate.edu](http://veterans.iastate.edu).

Amended and approved by the Faculty Senate on 4/17/18; the Senior Vice President and Provost on 4/19/2018; and the ISU President on 4/22/2018.

#### **10.4.3.4 Court Appearances**

Instructors shall excuse absences due to officially mandated court appearances including jury duty.

Approved by the Faculty Senate on 5/7/13, the Senior Vice President and Provost on 5/20/13, and the ISU President on 5/28/13.

### **10.5 Policy for Addressing Disruptive Conduct in the Learning Environment**

For student learning to be most effective, learning environments must remain civil, safe, collaborative, and free from conduct that unreasonably disrupts, impedes, obstructs, or interferes with the educational process. The university recognizes the importance of open inquiry, freedom of expression, and viewpoint diversity within its Learning Environments, and all members of the university—including faculty, staff, students, and administrators—should feel free to express their viewpoints without fear of reprisal ([FH 7.1](#)); however, students have an obligation to engage in the educational process in a civil manner that does not unreasonably disrupt the educational experiences of their fellow students or the instructor’s course objectives.

Conduct that unreasonably disrupts the ability of instructors to teach or students to learn can be prohibited as disruptions of university activities in violation of this policy. Instructors have the right and responsibility to ensure that a safe and functional learning environment is maintained. Importantly, instructors have the authority and discretion to address disruptive conduct. Students who engage in disruptive conduct may be subject to disciplinary action, including possible removal from a course(s) and/or referral for sanctioning under the Student Disciplinary Regulations.

#### **10.5.1 Definitions**

For purposes of this policy, the following definitions apply:

##### **10.5.1.1 Learning Environment**

A learning environment is a collaborative and safe space in which the exchange of information and knowledge occurs. A learning environment may include, but is not limited to, any gathering of instructor(s) and student(s) for the purposes of teaching and learning, particularly as authorized by Iowa State University or any of its units.



Learning environments may include, but are not limited to, physical classrooms, online and virtual learning spaces, laboratories, clinical settings, course-related field trips/work, performances, studios, internship sites, testing centers, conferences, and offices / office hours.

### **10.5.1.2 Instructor**

The classification of “instructor” includes all persons authorized by Iowa State University or any of its units to conduct the instruction of students enrolled in the university’s courses, programs, or activities. Instructors in all learning environments hold the right and responsibility to oversee the conduct in their environment and to ensure that a safe and functioning learning environment is maintained.

### **10.5.1.3 Disruptive Conduct**

At the discretion of the instructor, disruptive conduct includes a single serious incident or persistent conduct that unreasonably interrupts, impedes, obstructs, and/or interferes with the educational process. Disruptive conduct may be physical and/or expressive in nature and may occur in person or in a virtual setting. Examples of disruptive conduct may include, but are not limited to, the following:

- Speaking without being recognized, interrupting, or talking over others;
- Arrival to class late or leaving early without instructor permission;
- The use of technology, such as cell phones, computers, or other devices, without instructor permission, particularly in uses unrelated to course content;
- Creation of loud or distracting noises either carelessly or with intent to disrupt;
- Eating, sleeping, or carrying out other personal activities in class that are unrelated to course content without instructor permission;
- Non-protected malicious or harassing or bullying speech or actions directed at instructors or students, such as personal insults, *ad hominem* attacks, name-calling, other abusive or ridiculing comments, or threats;
- Gratuitous use of cursing/expletives or other speech that is not relevant to class discussion;
- Inappropriate physical contact or threats of inappropriate physical contact directed at instructors or students;
- Refusal to comply with instructor’s request for appropriate conduct.

The expression of unpopular or controversial opinions or the expression of disagreement with the instructor or other students during times when the instructor permits discussion and when delivered in a manner conducive to learning is not in itself disruptive conduct and is not prohibited. Rules regarding disruption shall be consistently and equitably applied.

## **10.5.2 Procedures for Addressing Disruptive Conduct in the Learning Environment**

Iowa State University adheres to a graduated approach in responding to and addressing disruptive conduct in our learning environments. Instructors, department chairs, deans, and relevant administrators identified in the Resources section of this policy, work collaboratively to identify the appropriate level of intervention necessary to address the specific disruptive conduct at issue.

For important guidelines and procedures on the application of this policy, see the online Procedures and Guidelines document that has been designed to assist all members of the university community in understanding, adhering to, and administering this policy.

## **10.5.3 Rights and Responsibilities**

The rights and responsibilities of relevant campus community members in the context of the instructor's role for addressing disruptive conduct in the learning environment are summarized below as they pertain to the application of this policy.

### **10.5.3.1 Instructors**

Instructors have the right and the responsibility to manage disruptive conduct within their learning environments, including establishing and communicating expectations, redirection, follow-up, documentation of incidents, and contacting appropriate resources following or in the course of an incident. Instructors can obtain information and assistance from a number of campus resources (*see* [FH 10.5.4](#), Campus Resources to help support decisions regarding potential violations of this policy and a student's return to or removal from a course(s) following an incident.)

The following is an example of a graduated approach for addressing classroom disruptions that an Instructor may follow depending on the particular situation: (1) direct a student engaging in disruptive conduct to cease the conduct, (2) direct a student engaging in disruptive conduct to leave the learning environment during a particular session or for a defined length of time in appropriate cases, (3) adjourn the class or activity, or (4) summon the university police in serious or emergency situations. The Resources identified in this policy and the Procedures and Guidelines have been developed to assist instructors in understanding the appropriate response(s) to incidents of disruption. Instructors will complete appropriate documentation, summarizing such incidents, and report such incidents to their department chair. Instructors will consult with their department chair regarding any student removals from courses.

In addition to the instructor's own observation of disruptive conduct, the instructor should evaluate reports of disruptive conduct brought to their attention by other instructional staff, teaching assistants, and students.

### **10.5.3.2 Students**

Nothing in this policy shall be construed so as to limit or abridge students' constitutional freedoms and legal rights. In the enforcement of this policy, instructors may not infringe

upon students' rights as members of the university community, in addition to those constitutional and statutory rights and privileges protected by state and federal law, including their rights to express themselves through academic work within the guidelines of the university rules and regulations or the guidelines set by instructors for the learning environment. Students have the responsibility to familiarize themselves with and follow the expectations set by instructors for the learning environment. They further have the responsibility not to deny these rights to other members of the university community. ([See ISU Student Disciplinary Regulations \[Code of Conduct\]](#)).

### **10.5.3.3 Department Chairs**

Department chairs receive information from instructors regarding disruptive incidents in the learning environment, as appropriate. They will be informed of and involved in consultations, decision-making, and appeals regarding student removals from the classroom.

### **10.5.3.4 Academic Advisors**

Academic advisors, including major professors for graduate students, may receive information from instructors when incidents of disruption occur. They may be contacted for consultation regarding their knowledge of individual student circumstances, or to assist the student in conversations with instructors or departmental representatives.

## **10.5.4 Campus Resources**

The following offices are available to assist and provide guidance to all members of the university community regarding this policy. Refer to <https://www.provost.iastate.edu/faculty-and-staff-resources/faculty-handbook/addressing-disruptive-conduct> for the best practices and additional information regarding "Procedures and Guidance for Addressing Disruptive Conduct". Additional resources for managing disruptive classroom conduct may be found at the Center for Excellence in Learning and Teaching website: <http://www.celt.iastate.edu/teaching/effective-teaching-practices/classroom-behavior/>.

### **10.5.4.1 Dean of Students Office**

The Dean of Students Office (DSO) is a principal resource to discuss and consult on all matters of learning environment disruption. (<https://www.policy.iastate.edu/policy/SDR>). DSO can be copied on email communication and summaries sent to the student(s) to document the incident with this office (copy [dso@iastate.edu](mailto:dso@iastate.edu)).

### **10.5.4.2 ISU Police Department (ISU PD)**

For emergencies, call 911. For non-emergency issues the ISU-PD 24-hour line—515-294-4428—is preferred over calling 911.

### **10.5.4.3 Office of Equal Opportunity (OEO)**

The Office of Equal Opportunity (OEO) is responsible for outreach, investigations, and follow-up regarding potential violations of the university's Title IX, anti-discrimination, anti-harassment, anti-retaliation, and sexual misconduct prevention related policies ([eooffice@iastate.edu](mailto:eooffice@iastate.edu)). Instructors are reminded of their reporting obligations as university [Responsible Employees](#).

### **10.5.4.4 Student Accessibility Services**

The Office of Student Accessibility Services (SAS) ([accessibility@iastate.edu](mailto:accessibility@iastate.edu)) determines eligibility for reasonable accommodations for students with disabilities.

Approved by the Faculty Senate on 4/23/19; by the Senior Vice President and Provost on 4/30/19; and the ISU President on 4/30/19.

## **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 Prep Week Policy

For each Fall and Spring semester, the last full week of classes before final examinations is designated as Prep Week. The intent of this policy is to establish a one-week period of substantial and predictable study time for undergraduate students. During the Prep Week period, regular lectures are expected to continue, including the introduction of new content, as deemed appropriate by the instructor. The restrictions established by this Prep Week policy are:

- Due dates for mandatory graded submissions of any kind that fall within Prep Week must be listed on the syllabus provided at the start of the course.
- Mandatory final examinations may not be given during the Prep Week period except for laboratory courses or courses that meet weekly and for which there is no contact during the normal final examination week.
- No in-class quizzes or exams may be given on the Thursday and Friday of Prep Week. Quizzes/exams that are administered outside of class such as take-home exams, online exams, or exams given in the testing centers must: 1) open no later than Wednesday at noon of Prep Week, and 2) only cover material presented on or before the Tuesday of Prep Week.

Exceptions to this policy include the following:

- Classes that only meet on Thursdays or Fridays
- Lab components of courses
- Half-semester courses
- Make-up exams due to excused absences
- Regularly used formative assessments intended to enhance student engagement and guide course delivery

All other exceptions require approval by the Office of the Senior Vice President and Provost.

- Registered ISU Student Organizations may not hold any meetings, functions, or sponsored events during the Prep Week period. Any exception to these restrictions must be authorized in advance by the [Office of the Senior Vice President for Student Affairs](#).

Section 10.6.4 was approved by the Faculty Senate on 4/9/2002.

Amended and approved by the Faculty Senate on 5/7/13, the Senior Vice President and Provost on 5/20/13 and the ISU President on 5/28/13.

Amended and approved by the Faculty Senate on 2/14/17, the Senior Vice President and Provost on 2/16/17 and the ISU President on 2/20/17.

Amended and approved by the Faculty Senate on 3/10/20; the Senior Vice President and Provost on 4/10/20; and the ISU President on 4/10/20.

## 10.7 Evaluation of Instruction

### 10.7.1 Oral Communication Competence

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 senior vice president and provost are responsible for the implementation of this policy and for ensuring that adequate standards of oral communication competence are maintained.

Section 10.7.1 was approved by the Faculty Senate on 5/07/1991.

### 10.7.2 Student Outcomes Assessment

**Introduction:** Iowa State University is committed to using assessment processes as an essential component of the continuous improvement of our institution's learning and educational outcomes. An effective outcomes assessment and evaluation process is a critical component of a continuous improvement process. Student learning outcomes for a degree program describe the knowledge, skills, and abilities that program faculty determine students should accomplish by the time of graduation. The improvement of students' achievement of these outcomes should be the goal of any program improvement effort.

When performed regularly and consistently, outcomes assessment and evaluation are the processes by which student achievement of learning outcomes is determined. Through a combination of direct and indirect measures, assessment collects data on student performance relative to program learning outcomes. The evaluation of these data provides

direction for changes that may be needed to address shortcomings and improve student achievement of the outcomes. After changes are made, student achievement of the outcomes is re-assessed and evaluated, with additional changes implemented as needed, in an ongoing cycle.

Collectively and individually (as appropriate), assessments of general education and program-level outcomes will:

- involve faculty at all points of the process
- align with Iowa State University's mission and goals
- use multiple methods of assessment
- evaluate results and take steps to improve student learning outcomes
- be linked to institutional program review processes
- include external judgment, advice, or benchmarks
- evaluate barriers to student retention and completion

**Program Assessment:** Every academic program – undergraduate, graduate, professional, and general education – is required to have an active assessment plan. Program assessment plans should:

- articulate specific program goals and measurable student learning outcomes
- identify the courses or student experiences where the disciplinary learning takes place
- assess one or more learning outcomes per year on an established periodic basis
- review assessment data to determine the efficacy and impact of its curriculum in achieving the learning objectives on a continual basis.

**Program Assessment Reports should:**

- identify one or more program learning outcomes that were assessed within the reporting period
- outline the types of assessments that were conducted during the defined assessment period (e.g., one direct assessment is recommended every three years)
- document and analyze the results
- summarize recommendations, identify opportunities for improvements (if needed), and outline recommendations and strategies for implementation.

**General Education Assessment:** The university-wide general education core requirements are designed to ensure that all Iowa State University undergraduate students acquire the key skills and perspectives needed to succeed in a global society.

Students graduating from Iowa State University with a bachelor's degree will have acquired knowledge and skills:

- to demonstrate proficiency in critical thinking and problem solving as appropriate to their field of study (critical thinking and problem solving);
- to communicate effectively in their field of study (communication);

- to be effective citizens and thrive in a culturally diverse global community (global citizenship);
- to be proficient in the acquisition and use of information (information literacy).

Amended and approved by the Faculty Senate on 4/20/21; the Senior Vice President and Provost on 4/23/21; and the ISU President on 4/24/21.

Amended and approved by the Faculty Senate on 5/5/15; the Senior Vice President and Provost on 6/16/15; and the ISU President on 7/20/15.

Section 10.7.2 was approved by the Faculty Senate on 5/07/1991.

## 10.8 Development of Courses and Curricula

### 10.8.1 Academic Program Approvals

A new course or curriculum must first be approved by the department(s) or college(s) that initiate it. Changes in existing minors, specializations, 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 consultation with those academic programs must also be provided. Documentation of support or objection, with rationale and faculty vote must be forwarded with the proposal. 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 college dean, the Faculty Senate Curriculum Committee, the Faculty Senate, the Senior Vice President and Provost, the President and the Board of Regents, State of Iowa (except as noted in the table below).

Action Item	Department or Interdepartmental Program	College	Graduate Council / Graduate Dean	Faculty Senate	Provost / President	Board of Regents
<b>Majors</b>						
New Major	Yes	Yes	Yes, if graduate program	Yes	Yes	Yes
Name change	Yes	Yes	Yes, if graduate program	Yes	Yes	Yes
Merged majors	Yes	Yes	Yes, if graduate program	Yes	Yes	Yes
<b>Undergraduate Certificates and Minors</b>						
New certificate or minor	Yes	Yes	No	Yes	Yes	No



Name change of certificate or minor	Yes	Yes	No	Yes	Yes	No
Merged certificates or minors	Yes	Yes	No	Yes	Yes	No
<b>Graduate Certificates, Minors, and Specializations</b>						
New certificate, minor, or specialization	Yes	Yes*	Yes	No	Yes	No
Name change of certificate, minor, or specialization	Yes	Yes*	Yes	No	Yes	No
Merged certificates, minors, or specializations	Yes	Yes*	Yes	No	Yes	No

**Concurrent bachelor/masters degrees**

New concurrent degree	Yes	Yes	Yes	No	No	No
Name change concurrent degree	Yes	Yes	Yes	No	No	No

\*Refers to Graduate College only, through the Graduate Curriculum Committee.

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 in the [University Catalog](#). Approved curricular changes that do not meet catalog publishing deadlines will be accessible on the University Registrar's website.

Amended and approved by Faculty Senate 11/11/14; by the Senior Vice President and Provost on 11/15/14; and the University President on 11/19/14.

**10.8.2 Discontinuation of Academic Programs**

A recommendation for discontinuation of an academic program shall be reviewed through both faculty and administrative channels. In every instance, the proposal for discontinuation of an academic program must be presented to the departmental faculty and administration or appropriate interdepartmental group.

A proposal for discontinuation of an academic program may be made by the academic department or program committee, college curriculum committee or college administration, Faculty Senate Curriculum Committee, Central Administration, or Board of

Regents. Regardless of the origin of the proposal, there must be opportunity for faculty review at all levels (department or interdepartmental program, college, and university).

Both the rationales for and against a proposed academic program discontinuation shall be forwarded with the proposal for discontinuation. Agreement between the senior vice president and provost and the Faculty Senate is required before a proposal of discontinuation of an academic program is sent forward to the Board of Regents.

<b>Action Item</b>	<b>Department or Interdepartmental Program</b>	<b>College</b>	<b>Graduate Council / Graduate Dean</b>	<b>Faculty Senate</b>	<b>Provost / President</b>	<b>Board of Regents</b>
<b>Majors</b>						
Discontinue major	Yes#	Yes	Yes, if graduate program	Yes	Yes	Yes
<b>Undergraduate Certificates &amp; Minors</b>						
Discontinue certificate or minor	Advisory	Yes	No	Yes	Yes	No
<b>Graduate Certificates, Minors, and Specializations</b>						
Discontinue certificate, minor, or specialization	Advisory	Yes*	Yes	No	Yes	No
<b>Concurrent bachelor/masters degrees</b>						
Discontinue concurrent degree	Advisory	Yes	Yes	No	No	No

\*Refers to Graduate College only, through the Graduate Curriculum Committee.

#A "No" vote of academic program faculty may be overruled by two-thirds majority of the Faculty Senate voting in favor of the discontinuation of an academic major.

Curricular changes are published in the [University Catalog](#). Approved curricular changes that do not meet catalog publishing deadlines will be accessible on the University Registrar's website.

Revisions approved by Faculty Senate (May 5, 2009); by president and provost (May 15, 2009)  
 Revisions approved by Faculty Senate (September 21, 2010); by president and provost (October 11, 2010)  
 Revisions approved by Faculty Senate (April 19, 2011); by president and provost (April 22, 2011).

### **10.8.3 Consistency of Student Learning Outcomes Across Sections and Modalities of Instruction**

To ensure that completion of a given course consistently signifies acquisition of knowledge and abilities, core learning outcomes for all sections of a course should be similar, regardless of term of offering, instructor, or mode of course delivery. Within individual sections of a course, additional learning outcomes comporting with broader program and/or general education curricular aims may be articulated, with the understanding that the core learning outcomes will be met. In courses with course directors, fully consistent outcomes across all sections may be required.

All sections of a course must validly assess the core student learning outcomes of the course, though methods of assessment may vary. (For example, appropriate assessment in a section using team-based pedagogy might differ from appropriate assessment in a large lecture-based section.)

Approved by the Faculty Senate 2/12/19; by the Senior Vice President and Provost 2/14/19; and the ISU President 2/15/19.

## **10.9 Policy on Educational Material and Intellectual Property**

### **10.9.1 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.

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](#).

### **10.9.2 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 they 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.

### **10.9.3 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.

### **10.9.4 Ownership of Course-related Presentations**

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.

The complete policy is available at

[http://catalog.iastate.edu/academic\\_conduct/#classesrecordingtext](http://catalog.iastate.edu/academic_conduct/#classesrecordingtext).

### **10.9.5 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. \(ISURF\)](#).

### **10.9.6 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 they are 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 they receive 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 senior vice president and provost.

### **10.9.7 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, ([FH Section 10.9.6](#)).

Approved by the Faculty Senate on 12/14/21; the Senior Vice President and Provost on 12/17/21; and the ISU President on 12/21/21.

## Revisions

1. Removal of Chapter 11 approved by Faculty Senate 11/17/11; approved by president and provost 11/17/11
2. Gender neutral pronouns were approved by the Faculty Senate 11/10/20; by the Senior Vice President and Provost 11/19/20; and the ISU President 11/19/20.