

IOWA STATE UNIVERSITY

Office of the Senior Vice President and Provost

Complaints and Investigations Involving Faculty

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Basic Principles

- Faculty are subject to all university policies, including *ISU Policy Library* and *Faculty Handbook*
- No complaint should be dismissed or ignored
- Complaints involving faculty should be resolved at the lowest administrative level possible
- Few complaints rise to level of formal investigation and process
- Faculty can only be disciplined through the peer-review Faculty Conduct Process administered by the Provost's Office
- Ombuds provides support for faculty seeking guidance on process, information, and resources to address their concerns

Formal Investigative Processes

TYPE OF COMPLAINT	POLICY	RESPONSIBLE UNIT	INVESTIGATORS	FINAL DECISION
<i>Faculty Conduct</i>	Faculty Handbook, Chapter 7	Provost's Office	Faculty Review Board (FRB)	Provost
<i>Appeals</i>	Faculty Handbook, Chapter 9	Faculty Senate Committee on Appeals	Ad-Hoc Investigative Committee (AHIC)	Provost
<i>Research Misconduct</i>	Policy Library, Research Misconduct Policy	VP for Research Office	Research Investigative Committee (RIC)	Provost
<i>EO</i>	Policy Library, Discrimination and Harassment Policy	Office of Equal Opportunity	EO Specialist > FRB	Provost

Faculty Appeals (FSCA)

- Faculty member files appeal or grievance with the Faculty Senate Committee on Appeals (FSCA)
- J&A Council Chair selects three faculty members to serve on the Ad-Hoc Investigative Committee (AHIC)
- AHIC conducts investigation, interviews witnesses, and drafts an investigative report and findings
- FSCA receives the investigative report, votes whether to accept the AHIC recommendation partially or entirely, and makes a final recommendation to the Provost
- After reviewing the FSCA recommendation and entire case record, Provost issues a final decision

Faculty Appeals (Administrative)

- Faculty member files appeal or grievance with the administrator whose action/s they are grieving
- Administrator (e.g., department chair) reviews the appeal and carries out any investigation necessary before writing a response and decision
- Faculty member may appeal up through the administrative chain of command (chair > dean > provost > president > Board of Regents)

Faculty Conduct Complaint

- SVPP receives a formal conduct complaint against faculty member
- Three faculty appointed from pool to serve on FRB
- FRB conducts investigation, interviews witnesses, and drafts investigative report
 - May use an external investigator to support their work
- Parties have multiple opportunities to respond to complaint and investigative report
- FRB makes recommendation: dismiss complaint, minor sanction hearing, major sanction hearing
- After reviewing the FRB final investigative report and recommendation, and entire case record, Provost issues a final decision

Equal Opportunity/Title IX Complaint

- Informal complaint:
 - EO may consult with Department, College, or SVPP on who/how to address
- Formal complaint:
 - SVPP notified within 24 hours of receipt of complaint
 - Interim measures put in place, if appropriate
 - EO specialist investigates
 - SVPP notified when investigation concluded, findings made*
 - May result in conversation with faculty member, letter of non-disciplinary corrective action, or conduct complaint, *depending on nature of complaint and findings*

*Policy change under review

Research Misconduct Complaint

- Complaint against faculty member filed with VPR (RIO)
- RIO carries out an inquiry (formal process)
- RIO makes recommendation to VPR who determines whether or not to file a complaint with SVPP
- If VPR files formal complaint, a RIC is formed from FRB pool
- RIC receives RIO's inquiry report and conduct further investigation, interviews witnesses, drafts investigative report
- RIC determines: dismiss complaint, minor sanction hearing, major sanction hearing
- After reviewing the RIC final investigative report and recommendation, and entire case record, SVPP issues final decision