

University Senate Minutes

Fargo, ND 58105

North Dakota State University

March 20, 2006

The University Senate met at 3:30 p.m. in the Peace Garden Room of the Memorial Union with Dr. J. Council presiding and the following senators present: D. Andersen, I. Askelson, B. Bahrami, S. Balaz, S. Beck, E. Berry, K. Brooks, M. Christoffers, V. Clark Johnson, J. Coykendall, W. Dai, D. Danbom, B. Duncan, T. Esslinger, J. Filpus, J. Garden-Robinson, J. Glower, C. Gross, C. Gustafson, W. Hannon, M. Harvey, H. Hatterman-Valenti, D. Hopkins, A. Kallmeyer, D. Klenow, T. Knoepfle, L. Langley, A. Little, M. Mallett, L. Manikowske, D. Miller, E.J. Miller, B. Montgomery, M. Ostlie, C. Peterson, B. Randall, S. Rasmussen, J. Reimnitz, D. Rider, T. Riley, M. Robinson, N. Rogers, R.C. Schnell, D. Schwert, G. Smith, D. Sperl, D. Steele, K. Teigen, D. Terbizan, D. Webster, and D. Wittrock

Substitutions: C. Ciuperca for D. Comez, R. Harrold for K. Grafton, R. Haugen for D. Hauck, B. Johnson for K. Howatt, L. Disrud for S. Panigrahi, S. Khan for D. Scott, C. Urness for R. Pinkson, X. Cai for J. Ransom, and S. Bergeson for J. Trowbridge

Previous Minutes

Minutes of the February 13, 2006, meeting were approved with unanimous consent.

General Announcements

- 1) Provost and Vice President Schnell announced the following:
 - Re-accreditation-The February site visit was successful and NDSU has been recommended for approval for another ten years. We are still awaiting a draft of the final report to proof and respond to any inaccuracies.
 - Equity-A report from an outside consultant hired by the University System has presented questionable figures. NDSU numbers have been combined with those of Agriculture Extension. By law, agriculture funding cannot be used for instruction, etc. The University System's approach to funding is very complex and more simple solutions have been proposed. The fear is that no change will happen as a result of this report.
 - The Chancellor's Cabinet will meet soon to discuss salary guidelines.
 - NDSU's English Ph.D. program proposal in Rhetoric, Writing and Culture has been met with opposition by UND.

- 2) J. Council, president of University Senate, announced:
 - He is still compiling and receiving data on the faculty service project.
 - A 2/3 vote was required to change the University Senate Bylaws to include a consent agenda. Due to PRS/technical malfunction, the data was lost, so another vote will need to be cast. Council shared a sample consent agenda and further explained how they work.

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- 3) D. Cooley, parliamentarian, presented a tutorial on Division and Voting. This is to be used whenever a member doubts the result of a voice vote or a vote by show of hands-either because the result appears close or because he doubts that a representative number of the members present have voted-he can call for a Division of the Assembly. (RROO Section 29). He shared Division of Assembly characteristics. (The full tutorial is posted on the University Senate web site at http://www.ndsu.edu/ndsu/deott/univ_senate/).

Committee Reports

A. *Academic Affairs (Attachment 1):*

T. Knoepfle presented for approval several new courses, course changes, and course deletions, as well as two new programs, a new prefix, a college name change, and a program title change. MOTION (Knoepfle/Reimnitz): to approve the committee recommendations as posted. MOTION PASSED WITH UNANIMOUS CONSENT.

B. *General Education (Attachment 2):*

M. Christoffers, presented new courses for general education and courses for continued approval as general education. MOTION (Christoffers/Little): to approve the committee recommendations as presented. MOTION PASSED WITH UNANIMOUS CONSENT.

C. *Policy Coordinating Committee*

E. Berry presented the following policies for information:

- [Section 107 – Employment Qualifications](#)
-This policy has been updated to reflect current Child Labor information.
- [Section 158 – Acceptable Use of Electronic Communication Devices](#)
-Language was added to subsection (4) to state that attempts to conceal one's identity or use a false identity is considered an unacceptable use of electronic communication devices. Communications should accurately identify the author. Concealment of misrepresentation of the author's identity to mask irresponsible or offensive behavior would be considered unacceptable.

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- **Section 310 – Base Salary**
 - Revisions are intended to update the policy to reflect the change from monthly pay periods to semi-monthly pay periods. Brief discussion ensued on the formula used to accurately calculate nine, eleven and 12 month salaries.
- **Section 339 – Communication Proficiency**
 - Procedural language is being removed from the policy. Specific requirements to verify communication skills will be determined by the Graduate School and posted in the *Graduate Bulletin*. Dean Wittrock explained that the current mechanisms will not be changed, but that moving it into the *Graduate Bulletin* will make updating easier.
- **Section 700 – Services and Facilities Usage**
 - Language has been added to cross-reference with NDSU Policies 601 and 150, limiting solicitations on campus.

D. Council of College Faculties

T. Barnhart shared findings of the compensation report were shared. Because North Dakota faculty are paid lower than their peers, CCF recommends:

- A total combined increase of at least 7.4 percent for faculty and staff is recommended for each year of the 2007-09 biennium. At a minimum, provide for salary adjustments based on the annual change in the consumer price index (CPI), allowing faculty and staff to maintain purchasing power; and, an additional market adjustment to prevent NDUS salaries from falling further behind the market.
- The State continues to fund 100 percent of employee health insurance premiums with no changes to deductibles or co-payments.
- The State increases the retirement plan contribution from 10 percent to 12.5 percent and employee contribution from 2 percent to 2.5 percent for employees with over 15 years of service.

There was discussion on the potential impacts of this proposal on student tuition. Schnell reported that a 9.5% tuition increase has been proposed for the 2006-2007 academic year. Utility costs have played into this recommended increase.

MOTION (Hannon/Berry): to support the recommended CCF proposal.
MOTION CARRIED WITH A VOTE OF 55-4-3. The following senators or their substitutes voted aye: Andersen, Askelson, Bahrami, Balaz, Berry, Brooks, Christoffers, Clark Johnson, Comez, Coykendall, Dai, Danbom, Duncan,

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Esslinger, Filpus, Garden-Robinson, Grafton, Gross, Gustafson, Hannon, Harvey, Hatterman-Valenti, Hopkins, Howatt, Kallmeyer, Klenow, Knoepfle, Langley, Little, Manikowske, D. Miller, E.J. Miller, Montgomery, Ostlie, Panigrahi, Peterson, Pinkston, Randall, Ransom, Rasmussen, Reimnitz, Rider, Riley, Robinson, Rogers, Schnell, Schwert, Scott, Smith, Sperl, Teigen, Terbizan, Trowbridge, Webster, and Wittrock. The following senators or their substitutes voted no: Beck, Glower, Mallett, and Steele. Senator Hauck's substitute abstained.

Unfinished Business

A. *Bylaws Revision to Allow a Consent Agenda* -

Due to PRS malfunction at the February meeting, a new vote was cast on the original motion of revising the University Bylaws to allow for a consent agenda (see motion in [February 13, 2006, meeting minutes, Attachment 6](#)).

MOTION PASSED WITH 55-3 VOTE. The following senators or their substitutes voted aye: Andersen, Askelson, Bahrami, Balaz, Berry, Brooks, Christoffers, Clark Johnson, Comez, Coykendall, Dai, Danbom, Duncan, Esslinger, Filpus, Garden-Robinson, Grafton, Gross, Gustafson, Hannon, Harvey, Hatterman-Valenti, Hauck, Hopkins, Howatt, Kallmeyer, Klenow, Knoepfle, Langley, Little, Mallett, Manikowske, D. Miller, E.J. Miller, Montgomery, Ostlie, Panigrahi, Peterson, Pinkston, Randall, Ransom, Rasmussen, Reimnitz, Rider, Riley, Robinson, Rogers, Schnell, Schwert, Scott, Smith, Sperl, Teigen, Terbizan, Trowbridge, Webster, and Wittrock. The following senators or their substitutes voted no: Beck and Steele.

B. *IT Reorganization Report and Recommendations (Attachment 3)* -

Provost Schnell explained how the IT Roundtable was established several years ago to look at IT needs on campus. This group has been inactive for a number of years and a new organization plan for Information Technology at NDSU has been drafted. Schnell shared the IT reorganization report and recommended motions as follows:

MOTION 1 (Schnell/Wittrock):

1. That the NDSU University Senate receive the report titled "A Review of the Information Technology Committee System at North Dakota State University," and accept Charge Items 1-3, as presented in the report.

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2. That the NDSU University Senate endorses the implementation of the following Charge Items:
 4. Recommend a set of goals for the NDSU IT governance system
 5. Recommend a set of formal groups that should comprise the NDSU IT committee system
 7. Recommend a process and timeline for making changes in the NDSU IT committee system

Brief discussion ensued on leadership from the various Senates on the ITAG, appointments vs. election to committees, and committee membership limits/rotation.

MOTION CARRIED WITH A VOTE OF 52-5-3. The following senators or their substitutes voted aye: Andersen, Bahrami, Balaz, Beck, Brooks, Christoffers, Clark Johnson, Comez, Coykendall, Dai, Danbom, Duncan, Esslinger, Filpus, Garden-Robinson, Glower, Gross, Gustafson, Harvey, Hopkins, Howatt, Kallmeyer, Klenow, Langley, Little, Mallett, Manikowske, D. Miller, E.J. Miller, Montgomery, Ostlie, Panigrahi, Peterson, Pinkston, Randall, Ransom, Reimnitz, Rider, Riley, Robinson, Rogers, Schnell, Schwert, Scott, Smith, Sperl, Steele, Teigen, Terbizan, Trowbridge, Webster, and Wittrock. The following senators or their substitutes voted no: Berry, Hannon, Hatterman-Valenti, Knoepfle, and Rasmussen. The following senators or their substitutes abstained: Askelson, Grafton, and Hauck.

MOTION 2 (Schnell/Coykendahl): That the NDSU University Senate endorses the implementation of Charge Item 6: Recommend the continuation, modification, or dissolution of existing IT Committees, and as part of this implementation, place on the April, 2006, meeting agenda, motions to dissolve the following University Senate Standing Committees:

1. Computing and Information Technologies Planning and Goals Committee(Part IX, Section 15)
2. Technology Enhanced Learning Committee (Part IX, Section 18)

MOTION PASSED WITH UNANIMOUS CONSENT.

New Business

A. *Revising Bylaws to include Distance and Continuing Education on University Assessment Committee*

R. Harrold explained that the Higher Learning Commission recognizes the growth of distance education activities and expects that DCE activity is kept in parallel with other academic guidelines on campus.

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MOTION (Harrold/Teigen): for University Senate to consider a Bylaws change at the April Senate meeting to insert in Part IX, Section 12.1 (pertaining to membership) “....a representative from the Division of Distance and Continuing Education....”

- B. *Commendation of the Self-Study Reaccreditation Review Team chaired by Dr. Robert Harrold.*

MOTION (Little/Teigen): That the NDSU University Senate hereby recognizes the three years of hard work by the Self-Study Reaccreditation Review Team, and commends Dr. Harrold and team members for their excellent results. MOTION PASSED WITH UNANIMOUS CONSENT.

- C. *Confirmation of Fall 2005 Graduates ([Attachment 4](#)) -*

MOTION (Terbizan/Sperl): To confirm of our Fall 2005 graduating class. MOTION PASSED WITH UNANIMOUS CONSENT.

Discussion

- A. *Policy 151.1 – External Activities and Conflicts of Interest ([Attachment 5](#)) –*

Provost Schnell sought input from the University Senate on the draft policy. He explained that conflicts of interest cannot be avoided, but can be managed. There was discussion on the legality of personnel matters being public vs. in executive session, academic freedom, patents relative to this policy, and time limitations. Recommended changes will be considered for incorporation into the final policy and presented again to the Executive Committee. It will come before the Senate for a vote in April.

Adjournment

Meeting adjourned at 4:45 p.m.

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Attachment 1

Academic Affairs Committee

Approved Curricular Recommendations

College Name Change			
From: College of Pharmacy		To: <i>College of Pharmacy, Nursing, and Allied Sciences</i>	
New Prefix			
MN (Materials and Nanotechnology)			
New Programs			
Large Animal Veterinary Technology, Minor			
Materials and Nanotechnology, Ph.D.			
Program Title Change			
From: Recreation Management		To: <i>Sport and Recreation Studies, B.A., B.S.</i>	
New Courses			
Dept.	No.	Title	Crs.
ADFH	489	Study Tour	1-3
BUSN	467/ 667	Sports Marketing	3
CDFS	350	Fundamentals of Hospital Child Life	3
CHEM	476/ 676	Introduction to Computational Quantum Chemistry	1
CSCI	445	Software Projects Capstone	3
CSCI	759	Computational Methods in Bioinformatics	3
ECS	740	Environmental Management	3
EDUC/ HC&E	488/ 688P	Applied Student Teaching	3
EMGT	720	Emergency Management Theory	3
ENGL	213	Literary Publications	3
ENGL	313	Literary Publications II	3
ENGL	385	British Fiction	3
ENGL	389	Non-fiction Prose	3
ENGL	413	Literary Publications III	3
HNES	190	Introduction to Sport and Recreation Studies	2
HNES	224	Event Management in Sport	3

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HNES	428	Sport and Recreation Studies - Sport Management Internship	12
HNES	431/ 631	Governance in Sport	3
HNES	436/ 636	Issues in Sport Management Economics	3
HUM	488	Epistemology	3
ME	457	Thermal Systems Laboratory Methods	3
MATH	435/ 635	Mathematical Models of Biological Processes	3
PLSC	433/ 633	Weed Biology and Ecology	2
POLS	453/ 653	Environmental Policy and Politics	3
SPAN	402	Advanced Spanish Conversation	3

Course Deletions

ADFH	352	Interior Design IV - Lecture	3
ADFH	465	Textile Product Analysis	3
EMGT	421	Hazard Mitigation Theory and Practice	3
HNES	340	Community Health Nutrition	3
HNES	366	Kinesiology and Biomechanics Laboratory	1
HNES	440	Nutrition Education and Counseling Skills	3
ME	455	Mechanical Systems Laboratory I	1
ME	456	Mechanical Systems Laboratory II	1
SOC	620	Sociology of Disaster	3

Changes in Course Prefix, Number, Title, and Credits

Dept.	No.	From	Crs.	Dept.	No.	To	Crs.
ADFH	181	Aesthetic Analysis in Business and Society	3	ADFH	181	<i>Aesthetics and Visual Analysis of Apparel Products</i>	3
CDFS	425/ 625	Children and Stress	3	CDFS	425/ 625	<i>Risk, Resilience and Competence in Children and Adolescents</i>	3
CDFS	776	Clinical Applications in Marital and Family Therapy II	3	CDFS	776	<i>Clinical Applications in Couple and Family Therapy II</i>	3
EDUC/ H&CE	487/ 687P	Student Teaching	12	EDUC/ H&CE	487/ 687P	Student Teaching	9
EMGT	461/ 661	Private Sector Crisis Management	3	EMGT	461/ 661	<i>Business Continuity and Crisis Management</i>	3

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ENGL	104	English for Non-Native Speakers: Vocabulary and Reading	R-5	<i>LANG</i>	104	English for Non-Native Speakers: Vocabulary and Reading	<i>1-5</i>
ENGL	106	English for Non-Native Speakers: Oral Skills	R-5	<i>LANG</i>	106	English for Non-Native Speakers: Oral Skills	<i>1-5</i>
ENGL	780	Renaissance Literary Studies	3	ENGL	780	<i>Studies in British Literature</i>	3
HNES	110	Introduction to Health, Physical Education and Recreation	1	HNES	110	<i>Introduction to Health, Nutrition and Exercise Sciences</i>	1
HNES	152	Professional Preparation in Middle School Activities	3	HNES	255	<i>Professional Preparation in Middle School Physical Education</i>	3
HNES	153	Professional Preparation in High School Activities	3	HNES	256	<i>Professional Preparation in High School Physical Education</i>	3
HNES	426	Parks and Recreation Administration	3	HNES	426	<i>Sport and Recreation Administration</i>	3
HNES	430/ 630	Psycho-Social Aspects of Physical Activity and Sport	3	HNES	430/ 630	<i>Socio-Cultural Dimensions in Sport</i>	3
MATH	099	Elementary Algebra	3	MATH	<i>101</i>	Elementary Algebra	3
PHYS	361	Electromagnetic Theory	4	PHYS	361	Electromagnetic Theory	<i>3</i>
PHYS	781	Solid State Physics I	3	PHYS	781	<i>Solid State Physics</i>	3
Cross-Listed Courses							
Dept.	No.	Title	Crs.	Cross-Listed Department			
GEOL	412/ 612	Geomorphology	3	<i>GEOG</i> 412/612			

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Review of General Education Courses

Approved General Education Recommendations

Outcomes Key:			
1. Communicate effectively in a variety of contexts and formats.			
2. Locate and use information for making appropriate personal and professional decisions.			
3. Comprehend the concepts and perspectives needed to function in national and international societies.			
4. Comprehend intrapersonal and interpersonal dynamics.			
5. Comprehend concepts and methods of inquiry in science and technology, and their applications for society.			
6. Integrate knowledge and ideas in a coherent and meaningful manner.			
7. Comprehend the need for lifelong learning.			
Courses Approved for General Education (New)			
Course No.	Course Title	Recommended Categories	Recommended Outcomes
CDFS 182	Wellness and Aging	W	2, 7
ENGL 324	Writing in the Sciences	C	1, 6
ENGL 358	Writing in the Humanities and Social Sciences	C	1,6
Continued Approval (5-Year Renewal) for General Education with No Changes in Outcomes			
Course No.	Course Title	Categories	Outcomes
ARCH 321	History of Architecture I	A	1, 2, 6
ENVD 101*	Environmental Design I	A	1, 2, 6
ME 189	Skills for Academic Success	F	2,4
NUTR 240	Principles of Nutrition	W	2, 7
STAT 330	Introductory Statistics	R	5, 6

*Formerly ARCH/LA 171: Introduction to Environmental Design

**A Review of the Information Technology
Committee System at
North Dakota State University**

**Final Report: December 12, 2005
Additional edits: March 8, 2006**

I. Overview

NDSU has changed and improved dramatically in the past five years in response to the President's vision of moving the institution to the Next Level in all of its activities. The University aspires to be a premier metropolitan land-grant institution with exemplary programs related to its fundamental missions of education, research, and service. In order to support these ambitions, the University will need an exemplary information technology environment that makes it possible for students, faculty, and staff to accomplish their work efficiently from almost any place on the planet at any time they need to have access to electronic information, resources, and services.

To help create such an environment, NDSU needs a well-defined, broadly representative, and highly collaborative IT planning and policy development system. Such a system will be instrumental in helping the University proactively develop the key building blocks of an exemplary IT environment such as a strategic funding plan for IT that is appropriate for an institution of NDSU's mission, goals, and size.

On September 6, 2005, NDSU Provost/VPAA Craig Schnell appointed a Review Team of campus representatives to examine the University's present IT-related committee structure and to make recommendations for improvement. This document describes the work of the Team.

As background for its work, the Team reviewed a number of articles related to "best practices" in the organization, management, and governance of IT in higher education. After discussing the materials, the Team agreed that "IT governance" means the organizational system and processes (i.e., the IT-related committees and the way they work and interact) that determine how an institution makes decisions related to strategic planning, policy development, and program review and facilitates communication throughout the institution about IT matters.

One of the Team's tasks was to assess the existing IT committees at NDSU, which include the Information Technology Roundtable, the Web Advisory Board, the Computing & Information Technologies Planning and Goals Committee, the Technology Enhanced Learning Committee, the Technology Fee Advisory Committee, the Acceptable Use Review Committee, the CHPC Advisory Council, and the Agriculture IT Advisory Group. The Team discussed the status of each of the existing groups and the characteristics of the current IT committee structure. A major weakness at present is that the University does not have an active high-level planning and policy committee for IT. In general, the Team agreed that the current structure does not adequately address the four areas that should be the basic functions of an IT committee system.

The Team recommended a set of goals for a new IT committee system at NDSU based on the background readings and on the assessment of the current structure. The most important goals are to have the President, Cabinet, and campus leadership endorse the new committee system and support a formal IT planning strategy linked to the campus budgeting process. The new committee system should be built around IT planning, policy development, and program review, and should ensure broad institutional representation and communication.

Based on the goals for a new IT committee system, the Team made a number of recommendations about the components of a new IT committee system and the current structure, including the following:

- **Recommendation:** Create a high-level executive committee (called the “IT Council” or “ITC”) that will serve as the primary coordinating body for IT strategic planning, policy development, and program review for the University. The ITC members should be “representatives of representatives” in the sense that each member occupies a leadership role somewhere in the University.
- **Recommendation:** Create several representative advisory groups in various functional areas (called “IT Advisory Groups” or “ITAGs”) that will be advisory to the IT Council and the University CIO; participate in the processes of planning, policy development, and program review under the general coordination of the IT Council; facilitate campus communication related to IT matters; and be widely representative. ITAGs would be created in areas of IT use such as Teaching and Learning, Research, Information Systems, Standards and Infrastructure, and Student Issues.

The Team recommended that several existing committees be modified to align them effectively with the new committee system. The Team also recommended that several committees that are inactive or no longer have effective roles in the current IT environment be dissolved, with the duties of those groups reassigned to the IT Council or to the ITAGs.

The Team believes that implementation of the recommendations in this report will have a significant impact on the quality of NDSU’s IT environment and will help facilitate the University’s Next Level goals.

II. Details of the Review

A. Review Team Charge

On September 6, 2005, NDSU Provost/VPAA Craig Schnell created a Review Team to examine the NDSU IT-related committee system and to make recommendations for improvement and implementation. The following charge was given to the Team:

- 1) Become familiar with the general nature, purpose, and goals of a university IT governance structure.
- 2) Review the strengths and weaknesses of the current IT committee structure at NDSU.
- 3) Review the modified IT committee system proposed in 2004.
- 4) Recommend a set of goals for the NDSU IT governance system.
- 5) Recommend a set of formal groups that should comprise the NDSU IT committee system, including the purpose and structure of the groups as well as the desired relationships among the groups.
- 6) Recommend the continuation, modification, or dissolution of existing IT committees.
- 7) Recommend a process and timeline for making changes in the NDSU IT committee system.

B. Review Team Members

The Review Team members were

- 1) Holly Bastow-Shoop, Professor and Department Head, Apparel, Design, Facility & Hospitality Management;
- 2) Kevin Brooks, Associate Professor, English;
- 3) Pam Drayson, Dean of Libraries;
- 4) Dan Ewert, Professor and Chair, Electrical Engineering;
- 5) Jeff Gerst, Professor, Biological Sciences;
- 6) Jessie Johnson, ITS Communications Coordinator;
- 7) James Kennedy, Director, Student Financial Services;
- 8) Brian Miller, Analyst/Technician, Facilities Services;
- 9) Prakash Mathew, Dean of Student Life;
- 10) Tom Moberg, Vice Provost & CIO, Review Team Chair;
- 11) Teresa Oe, Senior student;
- 12) David Wittrock, Dean of the Graduate School; and
- 13) Kristi Wold-McCormick, University Registrar.

C. Review Process

The Review Team met six times throughout the Fall 2005 semester and carried out the following activities:

- 1) developed a work plan and timeline;
- 2) read background materials;
- 3) reviewed and discussed the existing IT management structure at NDSU, including the ITS role in providing HECN support;
- 4) reviewed and discussed an existing IT committee restructuring proposal;
- 5) compiled and reviewed notes from each meeting of the Team;
- 6) discussed and agreed upon a broad set of recommendations in the areas suggested by the Team Charge; and
- 7) produced the final Report, which is organized according to the seven items in the Charge to the Review Team.

**III. Charge Item 1:
Become familiar with the general nature, purpose, and
goals of a university IT governance structure**

A. Background Materials

To accomplish Charge Item 1, the Review Team read and discussed the following materials related to the organization, management, and governance of IT in higher education:

- 1) *Strategic Assessment of Information Technology Environments in Higher Education*, by Tom Moberg
This paper builds on work done in EDUCAUSE to describe IT environments and help educational institutions assess their own IT environments. A basic idea in the paper is that the IT environment has interrelated, systemic components that can be described and assessed.
- 2) *Why IT is Harder Than It Looks*, by Tom Warger
This short article provides a non-technical perspective on the complexities of managing IT today.
- 3) *Building an Effective Governance and Decision-Making Structure for Information Technology*, by James Penrod
This article is a chapter from the EDUCAUSE publication “Organizing and Managing Information Resources on Your Campus.” The author, Dr. James Penrod, has been a CIO in higher education for at least 20 years and is widely viewed as a theoretical and practical expert on IT governance in higher education.
- 4) *Using an IT Governance Structure to Achieve Alignment at the University of Cincinnati*, by Bob Albrecht and Judith Pirani
The EDUCAUSE Center for Applied Research (ECAR) published this case study describing the development of a new IT governance structure at a large research university as an example of one way a governance process can be developed. The word “alignment” as used in the IT governance literature connotes the positive ways that an IT environment is developed to support institutional goals.

B. Definitions

After reading and discussing these materials, the Review Team agreed that “IT governance” means the organizational system and processes (i.e., the IT-related

committees and the way they work and interact) that determine how an institution makes decisions related to strategic planning, policy development, and program review and facilitates communication throughout the institution about IT matters. In this sense, the word “governance” is widely used in IT management circles in both higher education and the business world. As noted above, the word “alignment” is sometimes used in conjunction with “governance” to indicate that the IT vision is consistent with the University’s goals. Throughout the rest of the discussions, the Team used the “IT governance” definition above to guide its thinking and recommendations.

The Review Team understands that the word “governance” may confuse or concern some people, especially if they believe the word “governance” connotes strong control without adequate channels for campus-wide participation and communication. The readers of this Report are asked to keep in mind that “IT governance” as used here has the specific definition given in the paragraph above, and the recommendations carefully developed by the Review Team are intended to create an IT committee system that will incorporate broad representation, clear decision making, careful planning, and strong communication as inherent characteristics of the design.

The Review Team also discussed the important difference between “IT governance” as defined above and “IT management,” which means the activities carried out by the professional IT staff (such as ITS) to lead, guide, direct, manage, and support the institution’s IT resources and services in a context largely determined by the governance system. In this sense, IT “governance” is something a university community does, while IT “management” is something the IT support organization does to implement the plans and policies that are developed as part of the governance and alignment activities.

**IV. Charge Item 2:
Review the strengths and weaknesses of the
current IT committee structure at NDSU**

A. Overview of Existing IT Committees

Based on materials published on the NDSU Web site, the Review Team identified the following information about the Purpose, Meeting Status, Reporting Status, Start Date, and Membership of all IT-related groups at NDSU the Review Team was able to identify.

- 1) Information Technology Roundtable (ITR)
 - a. Purpose: Create a campus vision for integrated use of technologies; Develop a strategy for integration of the technological and informational functions of various units that support the University's instructional, research, and outreach activities; Engage in continuous review of information technology policy and propose revisions or new policies as appropriate; Inform and advise administrative and governance groups on information technology; Enlist campus participation in special projects that improve the University's ability to deploy information technology in support of its mission.
 - b. Meeting Status: Has not met for several years
 - c. Reporting Status: Reports to President
 - d. Start Date: 1996 (?)
 - e. Most Recent Membership: None

- 2) Web Advisory Board (WAB)
 - a. Purpose: Provide for the creation and maintenance of "a significant NDSU Web presence for both external and internal educational, marketing, and, informational service purposes"; Promote our Web site as the integrated center of all Web functions at NDSU; Develop a set of evolving technology and design guidelines that track evolution of Web-based and multimedia technologies; Coordinate the home page presence of NDSU divisions (e.g., colleges, departments, athletics, administrative services, etc.) in such aspects as major links, minimal download time, and coding efficiencies; Ensure that home page guidelines are developed with interdisciplinary input and that such guidelines allow for creative presentation of the diverse interests and services of this land-grant institution.
 - b. Meeting Status: Has not met for several years
 - c. Reporting Status: Reports to President
 - d. Start Date: 1997

- e. Most Recent Membership: Stan Ernst, Felix Guerrero, Phil McClean, Laura McDaniel, Bill Slanger, Alberta Dobry (ex officio), Ludvik Herrera (ex officio), Jim Ross (ex officio)
- 3) Computing & Information Technologies Planning and Goals Committee (CITPG)
- a. Purpose: Formulate and maintain long-range goals for academic computing and information technologies at NDSU; Assist the NDSU administration in developing plans and goals regarding facilities for computing and information technologies on campus; Provide input in formulating policies and procedures for the NDSU Information Technology Services; Receive, review, and address computing and information technology concerns at NDSU.
 - b. Meeting Status: Meets every other week during the regular semester
 - c. Reporting Status: Reports to University Senate once per year
 - d. Start Date: A committee of this sort has been in existence for at least 20 years, but only within the past decade became a Standing Committee of the University Senate.
 - e. Most Recent Membership: Each College (except University Studies) plus Computer Science and Operations Research, Ag Communications, ITS, Library, Staff Senate, and the Student Association of Computing Machinery Club
- 4) Technology Enhanced Learning Committee (TELC)
- a. Purpose: Address issues associated with curriculum delivery that are uniquely tied to technological advances in education, with special focus on distance education. Such issues include interfacing with multiple providers, delivery format, budgetary policy, intellectual property rights, academic freedom, and the relevance of technology-enhanced learning efforts to faculty rewards and to promotion, tenure, and evaluation.
 - b. Meeting Status: Has not met for several years
 - c. Reporting Status: Reports to University Senate once per year
 - d. Start Date: 1999
 - e. Most Recent Membership: One faculty member from each representation unit (except the College of University Studies), one undergraduate student, and one graduate student. The following units have non-voting membership: NDSU Libraries, ITS, Continuing Education, Distance Education Work Group, Division of Student Affairs, NDSU Extension.
- 5) Technology Fee Advisory Committee (TFAC)
- a. Purpose: Discuss and formulate recommendations to the Provost and Vice President for Academic Affairs about supporting [special] projects that improve the information technology capabilities on campus by the appropriate use of the technology fee.
 - b. Meeting Status: Meets each semester

- c. Reporting Status: Reports to Provost/VPAA
 - d. Start Date: 1995
 - e. Most Recent Membership: 6 Students, 3 Faculty, 3 Staff, Provost (ex officio), CIO (ex officio)
- 6) Acceptable Use Review Committee (AURC)
- a. Purpose: Interpret University's IT Acceptable Use Policy
 - b. Meeting Status: Meets as necessary
 - c. Reporting Status: Reports to Provost/VPAA
 - d. Start Date: 2004
 - e. Most Recent Membership: General Counsel, Human Resources Director, Equity & Diversity Director, CIO, University Information Security Officer (ex officio)
- 7) Center for High-Performance Computing Advisory Council (CHPC Advisory Council)
- a. Purpose: Provide advice to the Director of the CHPC
 - b. Meeting Status: Meets several times per semester
 - c. Reporting Status: Reports to the Director of the Center for High-Performance Computing
 - d. Start Date: 2003
 - e. Most Recent Membership: Bonnie Neas, Greg Wettstein, Bill Perrizo, Mario Bondini, Stefan Balaz, Dan Kroll, other faculty who use the CHPC
- 8) Agriculture IT Advisory Group
- a. Purpose: Define a baseline of technology that will be supported by NDSU Agriculture; Develop closer collaboration between centralized IT support staff and individuals who provide IT support on an informal basis to their department or unit; Expand IT training for agriculture faculty and staff.
 - b. Meeting Status: Meets monthly
 - c. Reporting Status: Reports to Vice President for Agriculture
 - d. Start Date: 2001
 - e. Most Recent Membership: The AITAG membership is under review by the Vice President for Agriculture and University Extension. The most recent members were: Randy Mehlhoff (chair), John Enz, Jim Hammond, Shelly Swandal, Lori Lymburner, Patty Flaagan, Margaret Tweten, Tim Becker, Gordon Bradbury, Dave Rice, Becky Koch, and Rosi Kloberdanz.

B. Assessment of the Current IT Committee Structure

The Review Team discussed the current status of each of the groups and the overall impressions of how the current IT-related University committee structure is working. Members of the Review Team have served on nearly all the existing groups, so the Team had substantial first-hand knowledge of the current structure.

The Review Team identified a number of specific weaknesses of the current University IT committee structure, including the following:

- 1) The University does not have an active high-level planning and policy committee for IT.
- 2) The University does not have a formal mechanism for IT strategic planning at any level, from departmental to institutional.
- 3) There is no clear, concise way to develop institutional IT policies, standards, and procedures.
- 4) The University tends to use ad hoc task forces to deal with major campus-wide IT issues when they arise, which has created some useful short-term results but also leads to fragmented, inconsistent, and ad hoc solving approaches.
- 5) There are only two active campus-wide IT committees: the Computing & Information Technologies Planning and Goals Committee (CITPG) and the Technology Fee Advisory Committee (TFAC). These two committees are not formally connected or coordinated.
- 6) The CITPG (a Standing Committee of the University Senate) does not currently play a significant role in campus-wide IT planning because the committee does not have the kind of campus standing that would allow it to facilitate such planning. The CITPG membership categories were created years ago and do not reflect contemporary campus IT interests. Several subcommittees operating under the auspices of CITPG have worked effectively with ITS in various areas such as classroom IT facilities and wireless networking.
- 7) The TFAC works conscientiously to allocate the student technology fee, but the committee only meets a few times a year and does not have any formal or systematic procedures for staying informed about campus IT directions.
- 8) A number of existing committees, including the IT Roundtable, the Web Advisory Board, and the Technology Enhanced Learning Committee (a University Senate Standing Committee), are not currently meeting or functioning.
- 9) Some College and departmental IT committees exist (e.g., the Agriculture IT Advisory Group), but they are not formally connected to institutional IT plans and directions or to each other.
- 10) The opportunities for representation and engagement from campus constituencies in the current committee structure are limited.
- 11) The current IT-related committees and groups were not created to address IT issues in a comprehensive and systematic manner. Consequently, these fragmented committees do not function together as a system. There are almost no formal lines of communication between and among committees. Other than CITPG (which submits one yearly report to the University Senate), these committees do not report widely on their activities.
- 12) No University committees have responsibilities to help align NDSU and North Dakota University System (NDUS) IT planning activities even though

a substantial portion of ITS funding is based on IT services that ITS provides to the NDUS institutions.

In general, the Review Team agreed that the current NDSU IT committee structure does not adequately address the four areas that should be the basic functions of an IT governance system (e.g., strategic planning, policy development, program review, communication).

**V. Charge Item 3:
Review the modified IT committee system proposed in 2004**

In 2004, the NDSU CIO developed a Proposal to modify the NDSU IT committee system to alleviate problems with the current structure (as described above). At that time, the Proposal was evaluated and generally supported by many groups on campus, but no action was taken. The purpose of Charge Item 3 was to have the Review Team take a fresh look at the Proposal as background material for the overall governance review.

The Review Team spent several meetings discussing the Proposal in detail and relating it to the general concepts about IT governance and alignment. Some of the suggestions in the Proposal about goals, committees, and committee relationships were incorporated with modifications into the Review Team's final recommendations.

**VI. Charge Item 4:
Recommend a set of goals for the NDSU IT governance system**

A. Source Materials on Goals

To develop a set of goals for a campus IT governance system, the Review Team reviewed the goals outlined in the aforementioned Proposal and the background paper by James Penrod titled *Building an Effective Governance and Decision-Making Structure for Information Technology*, which in a sense represents “best practices” in higher education.

B. Recommended Goals

The Review Team recommended the following goals for a new IT governance system at NDSU:

- 1) The President, Cabinet, and campus leadership should endorse a new IT committee system.
- 2) The President, Cabinet, and campus leadership should support a formal IT planning strategy linked to the campus budgeting process.
- 3) The system should be built around the four basic governance functions related to planning, policy development, program review, and communication.
- 4) The system should ensure broad institutional representation and involvement.
- 5) The system should have a high-level committee made up of “representatives of representatives” to provide a central focus for the overall system, act as an “executive committee” for the advisory groups, coordinate campus IT planning and policy development activities, and facilitate communication with the senior administration and the campus.
- 6) The system should have representative advisory groups in various functional areas to ensure wide representation, adequate input, and effective communication related to campus IT activities.
- 7) The system should accommodate subcommittees, ad hoc project teams, interest groups, and other kinds of special purpose groups when the need arises.
- 8) All permanent and temporary groups in the system should have well-defined organizational relationships.
- 9) The design of the system should incorporate extensive communication channels between and among all committees and the campus.
- 10) The system should ensure a clearly defined relationship between ITS and the various committees.

- 11) The system should clarify roles and responsibilities between ITS and other IT support entities on campus.
- 12) The system should ensure better connections between the NDSU and the NDUS governance systems.
- 13) The new system should be comprehensively evaluated every three years to ensure that it is meeting the campus needs.

**VII. Charge Item 5:
Recommend a set of formal groups that should comprise the
NDSU IT committee system, including the purpose and structure
of the groups as well as the desired relationships among the groups**

A. The Information Technology Council

One of the goals recommended by the Review Team is the creation of a high-level executive committee (called the "IT Council" or "ITC" in this Report). The ITC should have the following general characteristics:

- 1) The ITC will serve as the primary coordinating body for IT strategic planning, policy development, and program review for the University.
- 2) The ITC will serve in an advisory capacity to the President, Cabinet, and NDSU CIO.
- 3) The ITC will serve as a coordinating body for various formal IT advisory groups to help facilitate campus-wide communication related to IT matters.
- 4) The ITC members will be "representatives of representatives" in the sense that each member will occupy a leadership role somewhere in the University.
- 5) The ITC membership should consist of a vice president, a dean, an academic department head, an administrative unit director, the University Librarian, the chairs of the functional area advisory groups, the University Senate President, the Staff Senate President, the Student Senate President, and the University CIO. The CIO will serve as chair of the ITC to help ensure consistent leadership.
- 6) The advisory group chairs will automatically become members of the ITC, and the other members will be appointed by the President or the President's designees.
- 7) The ITC will have By-laws to guide its activities and meetings.
- 8) The ITC members will be expected to be well-informed about strategic IT issues and be willing to make a substantial time commitment to the ITC.
- 9) Administrative support for the ITC will be provided by ITS.
- 10) The ITC members will serve three-year, staggered terms to ensure overlap.
- 11) The ITC will meet at least monthly throughout the entire year.

B. IT Advisory Groups: General Characteristics

Another recommended goal is the establishment of representative advisory groups in various functional areas (designated "IT Advisory Groups" or "ITAGs" in this Report). All the ITAGs would have some common characteristics such as the following:

- 1) The ITAGs will be advisory to the IT Council and the University CIO.

- 2) The ITAGs should facilitate the creation of learning communities where faculty, staff, and students can join together to explore ways that information technologies can best be used in key aspects of the University mission.
- 3) The ITAG activities should include reality-based study, discussion, and synthesis, as well as participation in the processes of planning, policy development, and program review under the general coordination of the IT Council.
- 4) The ITAGs could be fairly large in size to accommodate a wide range of representatives and interests.
- 5) Members of an ITAG would be expected to be well-informed about IT issues relevant to the ITAG's charge and must be willing to make a reasonable time commitment to the group.
- 6) The ITAGs that are directly involved with issues of interest to faculty should have members appointed from each College according to the standard mechanisms used by the individual Colleges for determining such appointments.
- 7) ITS staff members would provide administrative support for the ITAGs.
- 8) Being less formal than the IT Council, the ITAGs may not need By-laws.
- 9) ITAGs may be created when there is sufficient need and interest, or may be dissolved if interest in a particular area wanes.

C. Specific IT Advisory Groups Recommended by the Review Team

- 1) ITAG for Teaching and Learning:
 - a. Purpose: Participate in strategic planning, policy development, resource allocation, and program assessment related to the use of IT in the University's teaching and learning activities; Serve as a special interest group for people interested in use of IT in teaching and learning activities; Help facilitate campus-wide communication related to IT matters.
 - b. Membership (Total: 16 regular, 4 ex officio):
 1. Appointee from each College (8)
 2. Faculty appointee from University Senate (1)
 3. Staff appointee from Staff Senate (1)
 4. Librarian appointee from the Library (1)
 5. Staff member from the ITS Technology Learning Center (1)
 6. Graduate student appointees from the Graduate School (2)
 7. Undergraduate student appointees from Student Senate (2)
 8. At-large members appointed by committee – ex officio (3)
 9. ITS staff member – ex officio (1)
- 2) ITAG for Research:
 - a. Purpose: Participate in strategic planning, policy development, resource allocation, and program assessment related to the use of IT in the University's research activities; Serve as a special interest group for

people interested in the use of IT in research activities; Help facilitate campus-wide communication related to IT matters.

- b. Membership (Total: 15 regular, 4 ex officio):
 1. Appointee from each College (8)
 2. Faculty appointee from University Senate (1)
 3. Staff appointee from Staff Senate (1)
 4. CHPC Advisory Council appointees (3)
 5. Graduate student appointees from the Graduate School (2)
 6. At-large members appointed by committee – ex officio (2)
 7. ITS staff members – ex officio (2)
- 3) ITAG for Information Systems:
- a. Purpose: Participate in strategic planning, policy development, resource allocation, and program assessment related to the use of information systems in the University’s administrative and business activities; Serve as a special interest group for people using PeopleSoft and other information systems; Help facilitate campus-wide communication related to IT matters.
 - b. Membership (Total: 15 regular, 4 ex officio):
 1. NDSU Business Office appointee (1)
 2. Ag Business Office appointee (1)
 3. Finance Office appointee (1)
 4. Registration and Records Office appointee (1)
 5. Admissions Office appointee (1)
 6. Grants & Contracts appointee (1)
 7. Facilities Services appointee (1)
 8. Human Resources appointee (1)
 9. Student Affairs appointee (1)
 10. Provost’s Office appointee (1)
 11. Library appointee (1)
 12. Graduate student appointed by Graduate School (1)
 13. Undergraduate student appointed by Student Senate (1)
 14. University Senate appointee (1)
 15. Staff Senate appointee (1)
 16. ITS staff members – ex officio (2)
 17. At-large members appointed by committee – ex officio (2)
- 4) ITAG for Standards and Infrastructure:
- a. Purpose: Participate in strategic planning, policy development, resource allocation, and program assessment related to the University’s IT standards and infrastructure activities; Serve as a special interest group for people interested in IT standards, infrastructure, desktop resources, local and wide-area networking, Internet2, and other technology issues; Help facilitate campus-wide communication related to IT matters.
 - b. Membership (Total: 14 regular, 4 ex officio):
 1. Appointee from each College (8)

2. Appointee from University Senate (1)
 3. Appointees from Staff Senate (2)
 4. ITS Director of Infrastructure Services (1)
 5. Graduate student appointee from the Graduate School (1)
 6. Undergraduate student appointee from Student Senate (1)
 7. At-large members appointed by committee – ex officio (2)
 8. ITS staff members – ex officio (2)
- 5) ITAG for Student Issues:
- a. Purpose: Participate in Technology Fee planning, IT policy development, resource allocation, and program assessment related to student IT issues; Serve as a special interest group for students interested in use of IT to enhance student activities on campus; Help facilitate NDSU campus-wide communication related to IT issues of interest to students.
 - b. Membership (Total: 11 regular, 4 ex officio)
 1. Undergraduate student appointees from Student Senate (2)
 2. Student appointees from Student Technology Services (2)
 3. Student appointees from Residence Life (2)
 4. Student appointees from Distance Education (2)
 5. Graduate student appointees from Graduate School (2)
 6. Staff appointee from Staff Senate (1)
 7. At-large members appointed by committee – ex officio (2)
 8. Associate Provost representing TFAC – ex officio (1)
 9. ITS staff member – ex officio (1)

**VIII. Charge Item 6:
Recommend the continuation, modification,
or dissolution of existing IT committees**

The Review Team made the following recommendations about the existing IT committees discussed during the Review.

- 1) Information Technology Roundtable (ITR):
 - a. Recommend that the President formally dissolve the IT Roundtable.
 - b. Recommend that the planning, policy development, program review, and communication functions formerly assigned to the IT Roundtable be reassigned to the new IT Council as part of the creation of the new IT committee system.

- 2) Web Advisory Board (WAB):
 - a. Recommend that the President formally disband the Web Advisory Board.
 - b. Recommend that the campus Web reengineering issues be referred to the new IT Council as part of that group's planning and program review activities.
 - c. Recommend that a new ITAG for University Web Development be created if/when NDSU embarks on a major Web reengineering project.

- 3) Computing & Information Technologies Planning and Goals Committee (CITPG):
 - a. Recommend that the University Senate dissolve the CITPG.
 - b. Recommend that the University Senate Executive Committee assist in reassigning the formal duties of the CITPG to various ITAGs in the new system.
 - c. Recommend that the University Senate, the Staff Senate, and the Student Senate appoint members to the ITAGs that absorb the formal duties of the CITPG.
 - d. Recommend that the new ITAGs that absorb the formal duties of the CITPG provide reports to each of the Senates when requested.

- 4) Technology Enhanced Learning Committee (TELC):
 - a. Recommend that the University Senate dissolve the TELC.
 - b. Recommend that the University Senate Executive Committee assist in reassigning the formal duties of the TELC to various ITAGs in the new system.
 - c. Recommend that the University Senate appoint members to the new ITAGs that absorb the formal duties of the TELC.

- d. Recommend that the new ITAGs that absorb the formal duties of the TELC provide reports to the University Senate when requested.
- 5) Technology Fee Advisory Committee (TFAC):
- a. Recommend that the Provost maintain the TFAC but modify it somewhat to be better aligned with the new IT committee system.
 - b. Recommend that the Provost modify the TFAC membership rules so that three student TFAC members are appointed by the ITAG for Student Issues and three student members are appointed by the Student Senate.
 - c. Recommend that the Provost modify the TFAC membership rules so that the three faculty TFAC members are appointed from the membership of the ITAG for Teaching and Learning.
 - d. Recommend that the Provost and the TFAC refer major issues (e.g., non-public computer lab support) related to allocation of technology fee funds to the IT Council or to various ITAGs for discussion and clarification.
- 6) Acceptable Use Review Committee (AURC):
- a. Recommend that the AURC be continued.
 - b. Recommend that the AURC submit information related to IT security and acceptable use policies to the IT Council when appropriate.
- 7) Center for High-Performance Computing Advisory Council (CHPC Advisory Council):
- a. Recommend that the Vice President for Research, Creative Activities and Technology Transfer ensure that CHPC Advisory Council be more closely integrated with the overall IT committee system.
 - b. Recommend that the CHPC Advisory Council be considered a sub-committee of the ITAG for Research.
- 8) College and Departmental IT Committees (including the Agriculture IT Advisory Group):
- a. Recommend that the ITAGs and IT Council strive to ensure that College and Departmental IT committees be integrated as much as possible with the overall campus IT committee system in order to enhance representation and communication.
 - b. Recommend that, when appropriate, College and Departmental IT Committees be considered by the IT Council for official ITAG status.

**IX. Charge Item 7:
Recommend a process and timeline for making
changes in the NDSU IT committee system**

This Report will be submitted to the Provost/VPAA. While further action will be the purview of the Provost/VPAA, it would seem appropriate to distribute the Report to the President, the Cabinet, the President's Council, the University Senate, the Staff Senate, and the Student Senate for information. Endorsement of the Review Team's recommendations by the President, Provost/VPAA, and Cabinet is essential, while endorsement by other campus groups is highly desirable.

If the recommendations in the Report receive sufficient endorsement, work could begin during Spring Semester 2006 to implement the new committee system. It would be most efficient to have the CIO provide leadership for the process with assistance from the ITS leadership team. To help with the process, it would also be useful to create a small temporary implementation advisory group containing some members from the current Review Team and representatives from the Executive Committees of the University Senate and the Staff Senate. The implementation process would require (at least) the following activities:

- 1) Create an IT Council (ITC):
 - a. Define a charge for the ITC
 - b. Define operating and decision making guidelines for the ITC
 - c. Seek member appointments from the President and Provost
 - d. Convene the ITC
 - e. Draft By-laws for the ITC

- 2) Create IT Advisory Groups (ITAGs) for Teaching and Learning, Research, Standards and Infrastructure, Information Systems, and Student Issues:
 - a. Define charges for the ITAGs
 - b. Assign ITS staff member(s) to participate in and provide administrative support for each ITAG
 - c. Define operating and decision making guidelines for the ITAGs
 - d. Seek member appointments from Colleges, administrative units, and Senates
 - e. Invite members of the campus community to submit nominations for the at-large ITAG seats
 - f. Convene the ITAGs and elect a Chair of each group
 - g. Appoint the ITAG Chairs as members of the ITC

X. Conclusion

This document outlines a set of recommendations and actions to enhance NDSU's IT committee system. This will help the University develop and sustain an exemplary IT environment that will support the University's strategic aspirations to be a premier metropolitan land-grant institution. The Review Team worked diligently to design a system that would make sense for NDSU at this particular time in its history. The Team understands that the recommendations suggest significant changes from current practices and that such actions are institutionally difficult. Therefore the Team strongly encourages the campus leaders to study this material closely and objectively. The Team members believe that the steps recommended in this report are necessary for NDSU to become the kind of Next Level institution it aspires to be.

On behalf of the University, the Chair wishes to sincerely thank the Team members for their cheerful cooperation and hard work on this project. The intelligence and creativity displayed by the Team members made a difficult task both successful and stimulating.

University Senate Minutes

Fargo, ND 58105

North Dakota State University

March 2

Attachment 4

North Dakota State University

Dates of these diplomas: December 16, 2005

Bachelor Arts

College of Arts, Humanities & Social Sciences

Byron Wade Engberg
Emily Mae Hagemeister ... Magna Cum Laude
Nicholas Benjamin Jennings
Jessica Esther Johnson
Tanya Marie Kramer
Krisanne Marie Kvernem ... Summa Cum Laude
Clinton Ray Larson
Barbara Jean Middleton
Alissa Myra Ricketts
Rebecca Ellen Rider
Tara Rae Schumacher
Kris M. Smetana ... Magna Cum Laude

College of Human Development & Education

Christina Jean Thorson ... Cum Laude

College of Science & Mathematics

Dawn Marie Leach

Bachelor of Science

College of Agriculture, Food Systems, & Natural Resources

Matthew Mounir Abdallah
Justin Daniel Askim
Jesse Miles Beckers
Matthew John Beneda
Justin Matthew Benz
Nicholas Allan Bjornberg ... Cum Laude
Ashley Sue Braun
Christopher Wayne Braun
Brandon James Burbidge
Chad Dale Burrer
Bret A. Cody
Natalie Marie Denn
Jon R. Eis
Tyler James Elkins ... Magna Cum Laude
Michael Shaun Fuith
David Gene Haugen
Amanda Eve Henneman
Eric S. Hormann
Justin Jerome Jensen
Ashley Renae Jenson ... Cum Laude

Chanda A. Johnson
Brady Lynn Kellerman
Luke Gerald Kuster ... Cum Laude
Andrew Joseph Maier
Joseph Burke McKitrick
Nathan Calvin Nelson
Penny Louise Nester
Katy Jo Neumann
Amanda Ann Nicolai ... Summa Cum Laude
Kelly Jean Olson
Susan Marie Olson
Ryan Richard Otto
Marissa Kay Paulson
Gwen Lenore Payne
Jeremy B. Peter
Alexander Lawrence Richard
Roberta Jo Rohrich
Nathan T. Ruckheim
Patti Ann Rusch
Kyle J. Schepp
Kayla Marie Serie ... Cum Laude
Maryn Elizabeth Shuck
Jason James Sobolik
Lindsey Kae Strand
Jason William Tews
Rebecca D. Todd
Greg Carl Tollifson
Jeffrey Mark Ulmer
Bethany Jean VanderVorst ... Summa Cum Laude
Miranda A. Vlaminck
Scott James Weinlaeder
Kristin Lynn Whitney
Michael James Wiltse ... Cum Laude
Amber E. Wood
Toby Valentino Yak
Nicole Jo Zahradka

College of Arts, Humanities and Social Sciences

Gennifer Leigh Baker
Emily Rae Barenthsen ... Cum Laude
Nicole Marie Barnes
Brett Michael Bergh
Johanna Leigh Beto
Laura Gail Black
Steven Thomas Bourgois
Stacy Ann Broermann
Amelia Lynn Churchill

Fallon Nichole Clouse
Nelia Marie-Sharit Cromley ... Magna Cum Laude
Cassie Rae Drake ... Magna Cum Laude
Zachary Ekahi Duval
Joseph David Fiedler
Cory Dennis Freier
Sarah Ann Freitag
Jenae Ann Gast
Autumn Marie Haecherl
Kathryn Elizabeth Hagstrom
Karen Marie Heinzen
Erik Brett Kehl
Collin Mark Kelly
Corey J. Kratcha
Samantha J. Kuhn
Brooke L. Maslowski
Joseph A. Mathern
Dara L. Minar
Molly Katelyn Nelson
Daniel J. Nordhougen
Caryn Jeanne Olson
Racheal L. Pederson
Matthew Ryan Perrine
Arron Marie Pfeifer
Kayla Jean Pulvermacher
Brandon Pious Roehrich
Anastasia Karine Roeszler
James K. Rutherford
Anne Marie Schaffhauser ... Magna Cum Laude
Adam J. Schreiner
Jared Charles Slinde
Kris M. Smetana ... Magna Cum Laude
James David Stastny
Nicole Ann Steen
Angela May Stenson ... Summa Cum Laude
Casey N. Traynor
Chris J. Ulmer
Jeffrey Lee Van Gerpen, Jr.
Ann K. Van Tassel
Stephen Christopher Vana
Keenan Richard Zundel

College of Business Administration

LeAnn Nicole Asche ... Cum Laude
Dustin James Benz
Lisa Ann Blixt
Landon Dale Brainerd
Jaime Marie Buethner

Jason Cole Cherney ... Magna Cum Laude
Michelle Marie Coon
Michael Albert Dewald
Troy Ray Diede
Nikki Dinh
Adam E. Dobmeier
Jason Curtis Doty
Jay Clark Enebo
Matthew James Erzar
Tanya Annette Fogarty
Timothy Michael Fossen
Lindsay Alexis Franzen
Jake Matthew Friedl
Philip James Gassmann
Jill Elizabeth Gerber ... Magna Cum Laude
Gina Marie Glatt
Steven J. Guscette
Nick B. Hall
Herjok Ayoor Herjok
Jason Randall Holzemer
Brandon Charles Johnson ... Cum Laude
Michael Ray Karnopp
Christopher John Kennedy
Brian James Kiewel
Alan Patrick Kubik
Anne Elizabeth Kuznia ... Cum Laude
Brian Henry LaPlant
Travis Charles Lium
Brandon Fredrick Lundebey
Cory Lee Magnuson
Aaron Lee Mar
Jonathan N. Marr
Linda J. Matthews
Jeffrey Matthew Meek
Lorin Jay Miller
Matthew James Miller
Imtiaz Mondal
Erin Kay Murray ... Magna Cum Laude
Callie J. Nordahl
Melissa Jean Oeltjen
Isaac Famboara Philibert
Steven Andrew Refling
Brent R. Reinarts
Jonathan Matthew Reis ... Magna Cum Laude
Jason G. Richard
Kara Colette Riley ... Cum Laude
Anthony Bruce Roehl
Carrie Ann Rossow ... Magna Cum Laude
Kyle Everett Scherweit

University Senate Minutes

Fargo, ND 58105

North Dakota State University

March 2014

Attachment 4

Tanner Wayne Schilke
Courtney Robert Serumgard
Matthew Ryan Sharp
Nathan F. Shubert
James Okugas Simon
Erica Ann Splonskowski
Sethrena Noreen Stigen ... Summa Cum Laude
Travis Gregory Sturdevant
Jeremy Scott Swenson
Melody Lou Thoreson
Jason Joseph Varghese
Rebecca Anne Wood
Peter Goni Zorbai

College of Engineering & Architecture

Daniel Arnold Albrecht
Jeremy Lee Almond
Brad David Andersen
Jeremy Michael Baer ... Magna Cum Laude
Kyle J. Bain ... Summa Cum Laude
Bradley James Baltrusch
Rebecca Lynn Barrows ... Magna Cum Laude
Trevor M. Bayer
Nicholas James Berglund
Timothy Andrew Biberdorf
Eric David Bjerketvedt
Kyle Chas Bjorkman
Matthew Thomas Brummer
Carolyn Faye Bue-Fitzgerald ... Cum Laude
Cody James Chilson ... Magna Cum Laude
Benjamin Lee Christenson
James Peter Clabo
Steven Ray Collins
Veronica M. Dell
Phillip Andrew DeSchepper
Jeremy Jason Dewald
Tyrel A. Eckroth
Brandyn Joseph Ehlis
Jodee Mae Elhard
Justin Carl Engelman
Dustin Scott Erdmann
Anthony R. Foggia ... Summa Cum Laude
Landon James Fries
Nathan Alan Grenz ... Summa Cum Laude
Nicholas James Grundman ... Summa Cum Laude
Ryan James Hanson
Andrew Jacob Harvala
Paul Samuel Haugen ... Summa Cum Laude
Jeremy Thomas Helland
Ryan James Heyer
Emily Kay Hille
Justin Lee Hofer
Rory Scott Indergaard
Christopher James Ingersoll
Jason I. Kamrud
Joshua Tyler Kamrud ... Magna Cum Laude

Ethan John Kemp
Douglas David Kempel
Brandon Lee Kern
Troy Jeffrey Knutson
Benjamin Carlyle Krause ... Magna Cum Laude
Matthew Bradley Kugler
James Robert Larson
Marcus Ryan Lee
Jason Jeffrey Lind
Nathan Craig Lotvedt
Randy Lee Lyons
Jeremy Joseph Mammen
Lindsey Jo Mathwig ... Cum Laude
Adam Jeremiah McGill
Brennon E. McKenzie
Christopher David McKenzie
Matthew Joseph Miller
Jeff M. Mitchel
Adam Spencer Mitylmg ... Summa Cum Laude
Jonathan Paul Morgenroth ... Summa Cum Laude
David James Narvesen
Eric Paul Nelson
Colin Michael Nygaard
Kirk Gustav Olson
Robert James Olson
Justin David Oss
Jennifer Jane Pietrzak
Sara Ann Pohlmann ... Magna Cum Laude
Nathan Andrew Reindal
Paul Daniel Richert
Keith Thomas Richtman
Gregory Dean Rise
Jeffery Allen Roberts
Lindsey Elizabeth Roberts ... Magna Cum Laude
John O. Rogstad
Michael Joseph Rooks
Brian Paul Rounds ... Magna Cum Laude
Daniel Matthew Salzer
Leo J. Schaefers ... Summa Cum Laude
Daniel Ross Schmidt ... Summa Cum Laude
Travis Lee Schmidt
Nathan R. Schneck ... Magna Cum Laude
Nickolas Joe Schreurs
Ryan Roy Schumacher
Ryan Garrett Schwoch
Jon A. Settingsgard
Colby Wade Shegrud
Jeremy David Smith
Travis Robert Spaeth
Joseph Paul Stich
Scott Eric Stoeckel
Justin Allen Strong
Brent Christopher Swanson
Jessica Nicole Swanson
Matthew Todd Theisen
Matthew James Thomas
Nathan Charles Thomas ... Magna Cum Laude

Kevin John Thompson
Kevin James Vandrovec
Zachary Paul Verlinde ... Magna Cum Laude
Steven Sean Vondal
Jason W. Webster ... Summa Cum Laude
Andrew Dale Werder
Kyle Nathen Wilberts
Samuel James Wilke ... Cum Laude
Matthew Patrick Yavarow
Charles Robert Young ... Summa Cum Laude
Lindsey Marie Young
Neal Anthony Zeren

College of Human Development & Education

Kayla Jo Arthaud ... Cum Laude
Lisa K. Behrend
Rebecca Rae Bruse
Alison Beth Colman
Taryn J. Colwell ... Magna Cum Laude
Joshua Christian Dunnell ... Magna Cum Laude
Peter Eugene Dux
Jennifer Lynn Edgerly
Lois A. Evans
Kristin Denise Frey
Joslyn Rae Graving
Myron D. Green
Kathryn Ann Haider
Laura Lynn Harne
Anastasia Ione Herkowski
Angela K. Huso
Laura Rose Ivanova ... Cum Laude
Erin N. Janke
Brandon J. Karhoff
Kathryn M. Kempf
Cassandra Marie Kouba
Britney June Krchnavy
Benjamin Anthony Krebs ... Cum Laude
Patricia Ann Krebs
Nicholas John Krump
Dakota Carole Kvaale
Krisanne Marie Kvernen ... Summa Cum Laude
Kurt Dana Landwehr
Heidi Marie Lansford
Katherine Lynn Larson ... Cum Laude
Jessica Ann Magnusson
Michael Dean Malard
Miriah Rebecca Martin
Jason James Meyer
Colette Dawn Middlestead
Rebecca Ann Muhonen ... Cum Laude
Nathan K. Nieman
Lyndsey A. Ochsner ... Magna Cum Laude
Christine A. Olson
Rachel Ann Opdahl
Leah Marie Paulson
Ryan Dean Perhus

Brandon Volney Peterson ... Cum Laude
Kelli Margaret Reed
Greg Alan Reinbold
Joshua L. Sanderson
Tracy A. Schmidt ... Cum Laude
Melissa Jean Schrader
Kristy A. Simmons ... Summa Cum Laude
Julie Kay Sprenger
Kim Dawn Suckstorff
Mindi Jo Thorstad
Tyler Thomas Tracy
Jennifer Lynn Truhlicka
Katherine Marie Uhler
Marcus Vetter
Jeff Matthew Vogle
Kristine Alice Wagner
Michael Robert Wagner
Elizabeth Anne Yost
Lisa Marie Zachmeier

College of Science & Mathematics

Nikki Deane Albrecht
Joshua Allen Andres
Michael R. Arey
Nolan B. Bartnick
Daniel Ryan Birkeland
Brandon S. Botner
Bryant Wayne Carlson
Philip David Carlson
Andrew James Caven
Matthew Colin Chaussee ... Magna Cum Laude
Carly Rae Christensen
Jayme L. Clayton
Marjorie Katherine Coleman ... Magna Cum Laude
Brenda Valerie Curry
Eric Philip Entzel
Erin Kay Entzinger
Matthew Lee Flink
Michelle Marie Fricke
Jenny Mae Fries ... Summa Cum Laude
Elizabeth Marie Gerszewski
Alexander James Gonzalez
Michael Allen Graner ... Cum Laude
Jeffrey Allen Haugen
Jamie Lynne Heller
Douglas James Hess ... Cum Laude
Nicholas Alan Hetland ... Cum Laude
Elizabeth Jean Hill
Nicholas Benjamin Jennings
Nathan John Johnson
Jackie Lynn Johnsrud
Jessica Irene Karsten
Nichole Marie Keller ... Magna Cum Laude
Jessica Jennifer Mack ... Magna Cum Laude
James S. McLean
Tia M. Mueller

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Kiyochika Nakamura
Christopher Ryan Olsen
Kristina L. Overland
Sneh Navin Patel ... Magna Cum Laude
Anthony A. Pecarina
James R. Perleberg
Brienne Leigh Peterson ... Magna Cum Laude
Chelsey Linn Plummer ... Magna Cum Laude
Timothy J. Polnaszek ... Magna Cum Laude
Justin Robert Pribula
Scott J. Ressler
Gina Rae Rossow
Jennifer Marie Rothhouse
Travis L. Sanderson
Zachary Vernon Sandness
Katie M. Schjeldahl ... Cum Laude
Megan Elizabeth Slater ... Summa Cum Laude
Jessica Lynn Stegmeier
Lee Michael Strand
Monica Ann Swedmark
Renae E. Teiken
Katsuyuki Terauchi
Christina Jean Thorson ... Cum Laude
Daniel Ryan Vigesaa
Aria Rachel Vigue
Sarah M. Welder

Bachelor of Science in Nursing

Angelia Dee Hage
Cheri Ann Haugen
Kristi M. Michels
Timothy Gordon Ringdahl
Dean Allen Rodacker

Bachelor of Accountancy

Jude A. Anheluk ... Cum Laude
Tyler John Bring
Kara Rene Gregerson ... Summa Cum Laude
Jill Rae Hegland
Jessica Esther Johnson
Bradley Alan Langerak
Travis Charles Lium
Adam John Ullery

Bachelor of University Studies

Jeremy James Bakken
Angela Marie Balloy ... Cum Laude
Thomas G. Fisher, Jr.
Jill Madelyn Gilleland ... Summa Cum Laude
Lauren Marie Gunderson
Allison Lynne Hennings
Lana Marie Lapka ... Cum Laude
Lisa M. Mann
Christina Lynn Schneider

Andrew Michael Steidl
Katharine J. Winkler ... Cum Laude
Tiffany Ann Zins

Bachelor of Architecture

Neal Anthony Zeren

Bachelor of Landscape Architecture

Randy Lee Lyons

Master of Arts

Ginger Ann Buxa
Abhijit Rao
Kimberly Sjurseth

Master of Business Administration

Monte Ken Fischer
Soha Kabil
Andrzej Kobylanski
Melissa Ann Nesemeier
Angela Novak
Darci Dawn Phillips
Justin Daniel Rothwell
Shura Riad Salah
Steven Joseph Speich
Taunia Sue Suckert
Kristi Svor

Master of Science

Sudheer Bachu
Michael Arthur Booth
Benjamin Davis Braaten
Juan Caffarel
William H. Clark
Mark Allen Davis
Robert Dow
Jedediah Owen Fluhrer
Paul William Goetz
Zhoufang Gong
Christina L. Hargiss
Shawn Hawks
Peggy A. Hornung
Heather Joy Hovland
Brent Harvey Johnson
Ruchita Kapoor
Ashwin Krishna Koleshwar
Yingying Kuai

Vasilii Malakhov
Krista Mary Manning
Jason F. Mimay
Shipra Mittal
Daniel Alfred Mostad
Deepthi Nimmagadda
Michael Paul Orth
Sameer Paranjape
Kristin Ann Phelps
Valerie Plote
Fabienne Pointier
Jayson Poppinga
Niraj Rauniyar
Ahmad Walid Saeed
Steven Roy Schmidt
Meghan Stritesky
Joanna Suresh
Brooke Andrea Svangstu
Panikumar Turlapati
Manoj Venugopal

Master of Education

Kimberly Ann Anderson
Daniel Shane Azure
William E. Cox
Angela Jean Halgrimson
Alison Lee Hoeg
Sharlene Kay Patnaude
Shane Richardson
Lennie Dee Steinmetz
Ned Jerome Strand
Jason W. Wiberg

Doctor of Philosophy

Sundar Balasubramanian
Sachin Brahmabhatt
Sibao Chen
Peter A. Edwards
Susan J. Cordes Green
Venugopalan Kasturirangan
Jahangir Khan
Janet J. Knodel
Nadejda Krashenninnik
Travis David Maddock
Shankar Manyem
Mohamed Matar
Md. Masum Serazi
Allen David Skaja
David C. Wahlberg

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SECTION 151.1: EXTERNAL ACTIVITIES AND CONFLICTS OF INTEREST (DRAFT)

**SOURCE: SBHE Policy Manual, Section 611.4
Office of Provost and Vice President for Academic Affairs**

(Note: This draft policy is being circulated to University Senate for input. The content of current NDSU Policies 151: Conflict of Interest, and 152: External Professional Activities, overlaps with some of the following content, and would need revision for compatibility and complementarity.)

I. PHILOSOPHY AND NEED

A. Beyond the traditional academic responsibilities of teaching, research, and service, and in response to the rapidly changing external realities, universities and their employees are increasingly involved in external activities*, including economic development, technology transfer*, consulting*, and other types of public service.

B. North Dakota State University recognizes the need, and actively encourages its employees, to participate in sponsored activities* and external activities as an important component of its land-grant mission. NDSU also recognizes that this may create conflicts of interest and/or commitment with traditional academic responsibilities. An investigator's* engagement in sponsored and external activities is subject to the principles that:

1. Full-time employees have as their primary responsibility their professional obligation to NDSU.
2. Employee conduct must conform to the highest standards of professional integrity and ethics, thereby avoiding even the appearance of impropriety.

**These and other terms marked with an asterisk are defined in Section XIII, Definitions.*

II. PRIMARY DEFINITIONS

A. A **Conflict of Interest** is said to occur or exist when:

1. An NDSU employee is involved in an activity, commitment or interest that may adversely affect, compromise, or otherwise be incompatible with the obligations that the employee has to NDSU; or,

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2. The University is influenced in such a way as to lead to improper financial gain for either the University, its employee, the employee's immediate family*, or for others; or,

3. The employee's involvement in, and/or commitment to, external activities interferes with the employee's primary obligations to his or her students, colleagues, and the institutional mission.

B. Conflicts of Commitment primarily relate to an employee's distribution of effort between obligations to an academic appointment and commitments to external activities. Conflicts of commitment may also occur or exist when professionally related external activities of the employee are so substantial or demanding of the employee's time and attention as to interfere or appear to interfere with the employee's responsibilities to NDSU, to the unit to which the individual is assigned, or to the students.

III. GUIDING PRINCIPLES AND MAJOR CONSIDERATIONS: INSTITUTIONAL

A. Institutional Approval. Institutional approval must be obtained prior to engaging in any external activity in which there is a potential or actual conflict. Full-time NDSU employees owe their primary loyalty and professional commitment to the institution during the terms of their employment. They must not neglect their university responsibilities to seek financial interest or advantage for themselves, their immediate families, their close associates, or a business over which they or their families have a direct or indirect financial interest. Any commitment of time and effort to serve another institution, agency, or industrial organization other than NDSU, therefore, should be made only after satisfying an employee's primary commitment to NDSU.

1. Where potential for conflict exists, it must be disclosed, analyzed, and dealt with immediately and directly. Although not all conflicts can be prevented or avoided, failure to disclose, properly supervise, or manage an identified conflict will constitute a violation.

2. Conflicts of interest may be categorized as

a. Clearly allowable.

b. Allowable after disclosure, review, approval and oversight.

c. Not allowable or prohibited.

B. Institutional Encouragement. When a relationship enhances the professional skills of NDSU employees or constitutes public service, interactions

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involving service, consulting, and research activities between institutional employees and external entities for reasonable periods of time and for personal remuneration are acceptable and encouraged.

(The reasonableness of time allowable will vary among individuals, discipline, and activity, and will be affected by specific departmental or unit needs).

C. Institutional Benefit. Participation by NDSU employees in activities that serve the interests of NDSU is encouraged, where such participation affords experience and exposure to the individual, and accrues standing to NDSU. Donation of professional services to external organizations and professional societies, and serving as officers of such societies for reasonable periods of time without substantial allocation of NDSU resources, is encouraged.

D. Institutional Resources. NDSU permits the use of its facilities, space, equipment, or support staff for external activities. If a substantial allocation of NDSU resources is required to support an external activity, a prior written financial arrangement must be agreed upon that adequately compensates NDSU for their use.

E. Confidentiality of Disclosure Information. NDSU will assure the confidentiality of individual disclosure information to the extent possible under applicable state and federal requirements and/or the North Dakota Open Records Act. Whenever requests for such information are requested by any external entity, the individual will be notified.

IV. GUIDING PRINCIPLES AND MAJOR CONSIDERATIONS: EMPLOYEE

A. Employee Disclosure. As a public institution, NDSU must possess sufficient information and control to discharge its obligations of public accountability and responsibility. NDSU employees have the responsibility to report promptly and in sufficient detail, all activities that may involve actual or potential conflicts. Regular, timely, and full disclosure is a key element in this policy and is necessary to identify, resolve, or manage any actual or potential conflict of interest situation. The requirement of disclosure cannot be waived by any university employee.

B. Employee Obligations. When arranging relationships with external agencies, NDSU employees are expected to make known their NDSU obligations. Where appropriate, they should provide copies of relevant NDSU policies to their contracted entities and inform the external agencies that their work is contracted in their individual capacity and does not in any way represent NDSU. Listing of an employee's institutional affiliation in public or commercial documents, especially those that draw attention to the employee's availability for compensatory work, is therefore considered violation of this policy.

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C. **Academic Freedom.** NDSU employees are free to choose the subject matter and strategies of their individual teaching and research activities on the basis of scientific or scholarly criteria, insofar as they are unencumbered by external commitments.

D. **Freedom to Publish.** Subject to limited delays to permit filing of document(s) to protect intellectual property* or findings, as in a patent application, NDSU will vigorously ensure its employees' free and open dissemination of information including the right to publish.

(See also NDSU Policy regarding Classified Research, Policy 344)

E. **Accountability for Review.** NDSU expects that responsible individuals will exercise their duty and responsibility, at all levels of review and action, to evaluate carefully all potential conflict situations disclosed or known to them before acting to approve or disapprove the same.

F. **Time Commitment.** NDSU will allow an average of up to one day per week (40 days for academic year and 52 days for calendar year appointments) within the contract period for acceptable and approved external professional activities (Policy 152). This released time, subject to unit needs, is not an automatic entitlement but is approved at the administrative head's discretion. Such released time is not available for:

1. Activities or businesses that are purely personal in nature.
2. Activities that are neither related nor contribute to the advancement of the employee's professional skills.
3. Activities, which do not provide an opportunity for professional growth.

V. **SPECIFIC RESPONSIBILITIES** *(See also NDSU Policy 151: Conflict of Interest)*

A. **NDSU employees** are required and expected to take the initiative to report promptly and in detail to the administrative head of their units, for prior written approval, all activities or situations which may involve, or appear to involve, a conflict of commitment, a conflict of interest, or an incompatible obligation* or commitment, and to respond to inquiries from the administrative head in connection with any such report. The mere existence of a conflict, real or potential, however, will not necessarily preclude a particular activity.

B. **Administrative heads of units*** have the duty and responsibility to evaluate carefully all potential conflict situations reported or known to them before acting

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to approve or disapprove the same. As a public institution, NDSU is expected to possess sufficient information and control to discharge its obligations of public accountability.

1. In a specific conflict situation, it may be appropriate for the administrative head to inquire into a number of factors, including
 - a. the extent of time commitment to external entities and income derived by academic staff member from consulting activities;
 - b. the extent of financial or other interest the academic staff member or staff member's family have in external entities;
 - c. the extent to which such financial or other interests may influence or affect the entities' general policy or specific decision.
2. Careful scrutiny is called for when
 - a. the employee's acquisition of financial interests or assumptions of external executive or administrative responsibilities appear to be in conflict with the employee's duties and obligations to NDSU;
 - b. activities may influence research or business decisions in ways that could lead to the employee's direct or indirect personal financial gain, or give improper advantage to the employee's immediate family, associates, or others.

In such circumstances, if the proposed activities are to be approved, appropriate control mechanisms must be established and reduced to writing, and be subject to continuous review and monitoring. Such monitoring may include, among other requirements appropriate to the circumstances, higher administrative level review of expenditures (including those for travel), periodic detailed reviews of programmatic objectives and progress, removal of the affected employee from decision making authority, or granting a leave of absence without pay when the external commitment is inappropriate to the employee's University duties or responsibilities.

Provision might be made for consulting authorization request approval process, whereby if the duration of the activity is longer than one year, or is indefinite, indeterminate, occasional or ongoing for a period longer than one year, for the authorization to be renewed annually through electronic correspondence, provided there are no material changes to

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the original activity. Substantial changes to the activity would require formal reauthorization.

3. External activities must be approved in advance through established review procedures to ensure that the proposed research conforms to the academic, administrative, fiscal, legal, space utilization, and other policies of NDSU, and that it does not conflict with the rights of others at NDSU or with other University commitments. Research agreements with external sponsors must maintain basic academic values and must not promote a secrecy that will harm the development of knowledge, impair the educational experience of students or postdoctoral fellows, diminish the role of NDSU as a credible and impartial resource, interfere with the choice by employees of the scientific or scholarly subjects they pursue, or divert an employee's energies or NDSU resources from primary educational and research missions.
4. Those situations are to be avoided or remedied in which academic staff members, through use of their University positions or by their conduct, may be tempted to disregard the interests of the University and its students, or to dilute or divert their attention from their NDSU responsibilities in order to seek direct or indirect advantage for themselves, their families, or close associates, or exert sufficient influence over a business to be able to affect its general policy or specific decision.

VI. DISCLOSURE

A. The policy on disclosure is the key mechanism to identify potential conflict(s) of interest and commitment for further evaluation, oversight, and remediation. Usually, and most importantly, this will involve financial disclosure*. For situations subject to review and approval, an NDSU employee shall submit a request in writing, explaining all pertinent circumstances, to the administrative head of the unit in which he or she is employed. Items that need consideration in the written request may include:

1. Listing any consulting relationship, managerial role, or a significant financial interest* in a company that does business with the University;
2. Listing any consulting relationship, managerial role, or a significant financial interest in a company that is involved with or sponsors activities related to the field of research and or service;
3. Listing any non-University income-producing activities that involve NDSU students or other staff.

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B. If an actual or potential conflict of interest is not believed to exist, the reviewing authority will complete the Administrative Review Form. One copy each will be returned to the individual submitting the form, forwarded to the respective Vice President, and retained on file with the Administrative Head. The action requested may be approved, provided it is in compliance with all other University policies and procedures.

C. If an actual or potential conflict of interest is determined to exist, there are three options. These include:

1. Permitting the requested action or activity.
2. Attaching conditions to the approval.
3. Prohibiting the activity.

D. If the administrative head believes that an actual or potential conflict of interest situation exists, he or she shall refer the matter to the appropriate Vice President. The Vice President shall exercise his or her authority to approve, disapprove, or approve with conditions any actual or potential conflict of interest, or refer the matter to the Conflict of Interest Advisory Committee (CIAC; see Section IX) for recommendation. Where special arrangements to accommodate an actual or potential conflict of interest are desired, they shall be reduced to writing, on the basis of which the Vice President may appoint an individual to monitor the approved arrangement.

E. The Vice President shall indicate his or her decision on the Administrative Review Form, copies of which will be forwarded to the individual submitting the request, the initial reviewing authority, and filed with the office of the Vice President.

VII. CONFLICTS INVOLVING ADMINISTRATORS

In the case of potential conflicts of interest involving administrators at the level of dean, director, or higher, initial disclosure shall be made with the appropriate Vice President, who shall then make a recommendation consistent with policy, and who may exercise the option to make the final decision. Disclosures for Vice Presidents shall be filed with the President, who shall have the final approval authority, but who may also consult with CIAC for its recommendation.

VIII. UNIVERSITY REVIEW OF SPONSORED ACTIVITIES*

Any sponsored program agreement between the University and external sponsor(s) must be authorized in advance through established University review procedures to ensure conformity of the proposed activity to the academic, administrative, fiscal, space

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utilization, and other policies of the University. In addition, such an agreement must not conflict with the rights of other University scholars, with other University commitments, or with the basic academic values of the institution.

IX. REVIEW AND APPEALS

A Conflict of Interest Advisory Committee (CIAC) shall be established, comprised of five members recommended by the University Senate and appointed by the President of the University Senate. The Committee shall serve as an advisory body to the University administration on conflict of interest issues, and shall also hear appeals of decisions in conflict of interest cases.

If an activity is subject to restrictions or prohibited, the employee concerned may request a hearing by the CIAC. After the written request is received by the President of the University Senate, the CIAC should meet with the appellant within 15 working days. If a member of the CIAC has any personal or working relationship with the appellant, that member should recuse him or herself and be replaced by another member appointed by the President of the University Senate. More than one meeting may be scheduled to decide the case, if necessary.

The appellant has the right to call any witnesses and produce any evidence that could bear on a recommendation to allow the activity, as well as to have an advisor accompany him/her to any committee deliberations. The committee, however, will come to its conclusions and write its final recommendations in private. The recommendation to either uphold or change the original decision shall be sent to the appropriate Vice President. If the committee finds that the original decision should be upheld, then a final appeal may be made to the President of the University. If the recommendation is to change the original decision, the Vice President shall take appropriate action as he or she deems fit. All records of the proceedings shall be maintained on file in the office of the appropriate Vice President for three years. A copy of the final recommendations shall be provided to the appellant.

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X. VIOLATIONS

Violation of this policy shall be subject to disciplinary procedures, including sanctions up to and including suspension and termination of employment at the University. In addition, any NDSU employee who has received financial benefit from transactions in violation of this policy shall be liable for repayment (to the appropriate entity) of all financial benefits resulting from such violation. Compliance with this policy may also be enforced through the exercise of administrative oversight of funded research and management of NDSU facilities and other property. Such enforcement measures may include, but not be limited to

- A. freezing research funds or accounts.
- B. rescinding contracts entered in violation of this policy or state law.
- C. bringing legal action for restitution to the appropriate entity or entities of the amount of financial benefit received by the NDSU employee as a result of the employee's violation of this policy.

XI. APPLICABILITY

This policy applies at all times to all full and part-time NDSU employees with regard to use of university name, property, and equipment.

(Exceptions to areas of applicability need to be negotiated with the administrative head, appropriate Vice Presidents, and the Provost and VPAA at the time of hire.)

XII. EXAMPLES OF CONFLICT OF INTEREST SITUATIONS

Conflict of Interest situations are not always easy to identify. This section categorizes and identifies activities that have differing potentials for presenting a risk. The list below represents examples of possible conflict situations that may be of some concern and is not meant to be exhaustive. Each situation, therefore, calls for an analysis of the potential benefits and risks. The administrative head or the CIAC must decide if the benefit is worth the risk.

- A. In general, potential conflict situations fall into five areas:
 - 1. adverse effects on educational programs;
 - 2. bias/subversion of research agendas;
 - 3. unreasonable impairment of the flow of information/knowledge;

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4. misuse of NDSU resources and facilities for private gain; and
5. theft and or misuse of NDSU intellectual property.

B. Potential conflict situations/activities may also be categorized as:

1. clearly allowable;
2. allowable after disclosure, review, approval, and oversight;
3. not allowable or prohibited.

C. Activities that are clearly allowable

1. Activities in this category have very low potential for conflict of interest. Participation does not require disclosure and is allowable if it is consistent with other NDSU policies such as those regarding time commitment and the employee's ability to meet job obligations. Examples of such activities include, but are not exclusive to:

a. Acceptance of royalties and honoraria for published scholarly works and intellectual property(if disclosed to and managed by NDSU or the NDSU Research Foundation), occasional lectures, commissioned papers, and creative works;

b. Acceptance of honoraria or payment for service as a special reviewer or service on a review panel for academic, government, and not-for-profit entities

c. Acceptance of royalties under NDSU or another academic institution's royalty policies insofar as the employee does not have any other relationship with the royalty-granting entities.

(See NDSU Policies 323, 323.3.1, and 152.4.3 for exceptions and exclusions to receiving honoraria and royalties.)

2. In such cases, the use of NDSU property or facilities is acceptable, if the use of such property or facilities has a legitimate relationship to the University employee's responsibilities, provided such use is not significant. No disclosure or approval is required in these situations by this policy, although individual administrative units may have their own approval or

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scheduling procedures. Examples include using institutional resources to author a book, host a meeting, conduct research related to one's disciplinary field(s), or to serve a professional organization as an officer.

3. In such cases, it is acceptable to utilize institutional employees (e.g., research assistants, secretaries, work study students) to provide assistance, provided the work activity is in keeping with the responsibilities of both parties, does not interfere with the performance of their primary activities, and does not result in significant additional costs to the University. This policy does not require any disclosure, other than intellectual property disclosures as required by policy, or approval process, although individual administrative units may require reporting and approval.

4. In such cases, it is acceptable for employees to acknowledge an affiliation with NDSU, provided this identification is accurate, is not used as part of any endorsement or promotional activities for business or personal gain, and is in keeping with the actual roles and responsibilities at the University (Policy 700.1). University personnel may use University stationery for activities that are related to their assigned University responsibilities. Such identification does not imply, however, that the employee is acting in anything other than in his or her individual capacity.

D. Activities that may be allowable after disclosure, review, oversight, and approval

1. Activities in this category have minimal-to-moderate potential for conflict of interest. These activities may be allowable after disclosure and appropriate review, provided prior administrative approval is obtained. Where appropriate or necessary, conditions or provisions for oversight may be imposed. Examples of such activities include, but are not exclusive to

a. Any ownership or majority control in a commercial enterprise that conducts activities closely related to the employee's area of academic work;

b. Holding an executive position in a commercial (private or public) enterprise or participation in the day-to-day operation of an enterprise directly related to one's University responsibilities;

c. Assuming a "key" continuing consulting role in an enterprise (including serving as a director of a company);

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d. Consulting for additional compensation (e.g., providing services to individuals or firms, presenting educational programs sponsored by private firms or independently by faculty members) through approval (*see Policy 152, Request for Approval*);

e. Situations in which the time or creative energy devoted to external activities appear substantial enough so as to compromise the amount or quality of the employee's participation in the instructional, scholarly, or administrative work of the University;

f. Situations in which a faculty member directs students in a research area from which the faculty member may realize a financial gain, thereby diminishing the faculty member's ability to render objective, independent judgment on the student's efforts;

g. Conducting research for any commercial entity.

2. In such cases, approval is required for the use of University resources and facilities that lie outside usual work responsibilities that result in clearly identifiable additional costs to the University. Approval of such situations will generally be conditional on reimbursement of costs. The executive head of the administrative unit in which the activity occurs must approve exceptions to the requirement for reimbursement. Examples include writing a book for outside compensation, hosting a conference, giving private lessons, performing research utilizing University research instruments for an external entity, or serving as an editor for a journal.

3. In cases where an activity will personally benefit the recipient, approval is required for the use of the services of other University employees. If the costs are more than trivial, approval shall only be granted if the requested services are in keeping with the usual University activities of both employees, and the activity is in keeping with the mission of the University.

4. Approval must be granted for student involvement in research activities that have the potential to substantially benefit a business entity in which a University employee has a significant financial interest.

5. Restrictions on publication rights that may adversely impact the fulfillment of degree requirements are permitted only to the extent reasonably necessary to obtain protection of intellectual property rights if they do not prevent publication of student research in a timely manner. In such instances, the student must be

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informed of the limitations prior to commencing the work and must agree in writing to those limitations.

E. Activities that are clearly prohibited

1. Activities in this category pose such serious conflicts with University policy and such high potential for abuse that they cannot be allowed under any circumstances, and are subject to disciplinary action in accordance with NDSU Policies and Procedures. Examples include, but are not exclusive to:

a. Any circumstances in which a substantial body of research or services that could and ordinarily would be carried on within the University is conducted elsewhere to the detriment of the University and its legitimate interests.

b. Any activity outside the purview of the University that

i. involves or appears to involve the University significantly through the use of its resources, facilities, or the participation of academic colleagues, students, and staff;

ii. involves the use of the University's name or implied endorsement; or

iii. violates any of the principles set forth in the University Research Policy 805 (for example, giving the outside organization the right to censor or prohibit publication rights for research any part of which is performed under University auspices).

c. Any use for personal profit of unpublished information or data emanating from sponsored activity or confidential University sources, or assisting an outside organization by giving it exclusive access to such information.

d. Consulting with outside organizations that impose obligations upon the faculty member or the University that conflict with the faculty member's or University Intellectual Property Policy or with the University's obligations under sponsored activity.

e. Any use of the University's name in connection with private activities in a manner that inappropriately suggests that the University endorses, sponsors, promotes, advertises, or approves the activities or views of the faculty or staff member.

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f. Any evaluation of junior faculty, staff, or students based on participation in (or refusal to participate in) outside activities involving business entities in which the evaluating faculty member has a significant financial interest.

g. Any assignment of students to research and or creative activities that involve secrecy or confidentiality requirements beyond best institutional practice.

h. Any use of uncompensated student labor for research or creative activity outside of the University that will result in personal gain for the supervising University employee.

i. Any use of the services of University employees for personal gain such as answering telephones for a private business, typing reports, or conducting research activities or accepting personal compensation for work performed by university employees for external activities.

j. Any conduct of library research by librarians on a product/technology for personal gain, or any use of University facilities or resources for personal financial gain or conducting a private business and using University supplies for non-university activities.

k. Any use of University employees and students, on University time and without reimbursement, for work motivated primarily by commercial concerns or intended to benefit a business entity in which the University employee has a significant financial interest.

l. Any soliciting or receiving, either by the University employee or a member of his or her immediate family a gift, compensation, loan of money, or a non-pecuniary gift, the value of which exceeds the amount permitted by state law; any soliciting or receiving of remuneration from a person or business entity that is an actual or potential provider of goods or services to the University, in connection with any transaction between the University and any persons or business entity, or under circumstances where it would tend to influence the University employee's performance of his or her University duties.

m. Any use of university resources (databases, subscriptions, tools, software, etc.) for personal gain or for the gain of a business in which the employee has an interest.

XIII. DEFINITIONS

A. **External Activities** are defined as activities (e.g., consulting) in which an outside organization or entity provides remuneration directly to the faculty

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member who, in turn, provides a service directly to the entity. There is no direct university involvement except the employment of the faculty/staff member.

B. Incompatible Obligation is defined as any agreement

1. between an NDSU employee and an external entity which is incompatible with the employee's obligations to NDSU;
2. which unduly restricts or impairs the employee's ability to perform research or other activities at NDSU;
3. which results in the transfer or compromise of existing or potential NDSU rights in intellectual property;
4. which utilizes NDSU resources without prior written approval of the appropriate University official or designee.

C. Immediate Family is defined as the spouse, parents, siblings, dependent children, and children in a University employee's household (*see also under Investigator*).

D. Administrative Head of a Unit is defined as a department chair or head, dean, director, vice president, president, or equivalent officer who has primary authority for administering an administrative unit.

(If a conflict exists for an administrative head of a unit, the matter shall be referred to the next level of administrative authority in the normal reporting lines.)

E. Sponsored Activity is defined as research, training, instruction, construction, and service projects involving funds, materials, or other compensation from outside sources (sponsor) under agreements that contain any of the following:

1. the agreement binds NDSU to a line of scholarly or scientific inquiry or service that is specified to a substantial level of detail;
2. a line-item budget is involved which details expenses by activity, function, or project period;

(The designation of overhead [indirect costs] qualifies for inclusion in a budget as "line-item")

3. financial reports are required, as also progress, technical, and other reports as appropriate;
4. the award is subject to external audit;

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5. unexpended funds must be returned to the sponsor at the conclusion of the agreement;

6. the agreement provides for the disposition of either tangible (buildings, equipment, records, technical reports, theses, or dissertations) or intangible (rights in data, software copyrights, or inventions), or patent, patent applications, or other intellectual property that may result from activity.

F. **Investigator** is defined as the principal investigator, co-investigator, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by an external sponsor.

(As it relates to financial interests, "Investigator" also includes the investigator's immediate family.)

G. **Significant Financial Interest** is defined as

1. Anything of monetary value, including, but not limited to, salary or other payment for services (e.g., consulting fees or honoraria);

2. Equity interests (e.g., stocks, stock options, or other ownership interests);

3. Intellectual property rights (e.g., copyrights, trademarks, patents, PVP, and royalties for such rights).

4. The term does **not** include:

a. Salary, royalties, or other remuneration from North Dakota State University the NDSU Research Foundation if such payments have not originated with the sponsoring agency;

b. Income for seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;

c. Income from service on advisory committees or review panels for public or nonprofit entities; or,

d. Financial interests in business enterprises or entities if the value of such interests (industry equity interests, salary, fees, or other continuing payments) does not exceed \$10,000 per annum or represents more than 5% ownership interest for any one enterprise or entity when aggregated

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for the investigator, the investigator's spouse, and dependent children.

H. **Financial Disclosure** is defined as the formal filing of information with a designated NDSU administrator, disclosing any direct and indirect financial interests that the employee, or spouse, or any dependent(s) has in the sponsor of a sponsored activity for which the filee is serving or will serve as an investigator.

I. **Intellectual Property** is defined as any ideas, inventions, technology, biological organisms, software, creative expression (and derivatives thereof), in which a proprietary interest may be claimed including, but not limited to, patents, patent applications, copyrights, trademarks, data sets, know-how, show-how, and biological materials.

J. **Consulting** is defined as a professional activity related to the University employee's academic field or discipline that involves a fee-for-service or equivalent relationship with a third party.

(In consulting, the employee agrees to use his or her professional capabilities to further the interests of a third party in return for compensation. See also NDSU Policy regarding Professional Service with Remuneration [Consulting], Policy 152.5)

K. **Technology Transfer** is defined as (and includes) any license, assignment, or conveyance of any legal or equitable interest in intellectual property that is owned by NDSU, or the NDSU Research Foundation including but not limited to, the right to make, market, copy, sell, or use such property in any way.

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University Senate Bylaws Revision

Consent Agendas

Part VII

Section 10. Agenda

The agenda for each regular meeting shall be prepared by the secretary of the Senate and distributed to faculty, staff representatives, and student members of the Senate, as well as the student newspaper and the University Archives in the North Dakota State University Libraries one week before each meeting.

Items may be placed on the agenda by any member of the Senate. The consent agenda shall consist of any routine or non-controversial matters the Executive Committee or Senate President (presiding officer) adds to the consent agenda. When matters on the consent agenda are called up, they may be considered in gross or without debate or amendment. If one or more senators object to an item on the consent agenda, then it will be removed from the consent agenda to be restored to the ordinary process by which it is placed in line of consideration on the regular agenda. The order of business for a Senate meeting shall be as follows:

1. Approval of the minutes of the previous meeting
2. Announcements
3. Consent Agenda
34. Committee reports
45. Unfinished business
56. New business
67. Adjournment