

NDSU Faculty Senate
May 9, 2016
Prairie Rose, Memorial Union
Agenda

- I. Call to Order
- II. Attendance
- III. Approval of previous meeting minutes from April 2016
- IV. Consent agenda
 - a. Academic Affairs Report ([attachment 1](#))
 - b. Policy changes ([attachment 2](#)) (All housekeeping changes: 100-816; information only: 156-183)
 - o 100
 - o 171
 - o 603
 - o 703
 - o 707
 - o 802
 - o 816
 - o [156](#)
 - o [183](#)
- V. Announcements
 - a) Dean Bresciani, President
 - b) Beth Ingram, Provost
 - c) Dennis Cooley, Faculty Senate President
 - d) Katie Gordon, Faculty Senate President-Elect
 - e) Gennifer Sprecher, Staff Senate President
 - f) Spencer Moir, Student Government President
- VI. Senate Committee Reports
 - a. Report from ad hoc committee on Campus Safety and Security Survey - Carol Cwiak
- VII. Unfinished Business
 - a. Proposal to merge Academic Affairs and General Education committees ([attachment 3](#))
 - b. Proposal to change FS Budget Committee ([attachment 4](#))
 - c. General Education Committee – Joe Mike Jones and Crosswalk ([attachment 5](#))
- VIII. New Business
 - a. Election of Faculty Senate President-Elect
 - i. Stuart Haring ([attachment 6](#))
 - ii. Carlos Hawley ([attachment 7](#))
 - iii. Bob Pieri ([attachment 8](#))
 - b. Policy 190 ([attachment 9](#))
 - c. Policy 352 ([attachment 10](#))
 - d. Policy 801 ([attachment 11](#))

- e. Policy 813 ([attachment 12](#))
- f. Policy 325
- g. Passing of the Gavel

IX. Adjourn

**Academic Affairs Committee Report
For Faculty Senate Meeting on May 9, 2016**

Program Changes
B.S. in Agricultural and Biosystems Engineering – removing CE 310 as a required course for the AGEN concentration
B.S. in Animal Science – change in guided electives and experiential learning credits
Minor in Animal Science – changes to reflect course re-numbering
B.S. in Construction Management – replacing selective admission with a CGPA requirement of 2.50 for degree completion
B.S./B.A. in English – adding a new category to better structure the major and create better continuity
B.S. in Equine Science – clearer wording for MATH requirement
B.S. in Exercise Science – removing HNES 210 as a required course for the major
Minor in Horticulture – changing course requirements to better match the field of study
Minor in Large Animal Veterinary Technology – requiring BOTH ANSC 220 and ANSC 463 and a 400-level Production course
B.S.M.E. in Mechanical Engineering – adding a course to technical electives
B.S. in Microbiology – adding MICR 352 and MICR 352L to required courses for the major
Minor in Microbiology – increasing focus on Microbiology courses
B.S. in Political Science, Public Service option – eliminating selective admission
B.S. in Political Science, Pre-Law option – eliminating selective admission
B.S. in Political Science, Standard – eliminating selective admission
Minor in Political Science – eliminating selective admission
B.S./B.A. in Psychology – removing STAT 330 as a requirement for the major
Minor in Religious Studies – adding structure and increased rigor
B.S./B.A. in Statistics – removing STAT 476 and STAT 491 as requirements for the major
B.S./B.A. in Theatre Arts – adding 5 additional classes to the electives section

Program Inactivations/Terminations
B.S. in Sports and Urban Turfgrass Management

New Courses				
Subject	No.	Title	Crs.	Effective Term
AGEC	356	Advanced Agricultural Lending	3	Spring 2017
ASM	423/623	Agricultural Waste Management and Utilization	3	Spring 2017
CM&E	486	Building HVAC Design	3	Fall 2016
ENVD	102	Drawing Basics for Environmental Designers	1	Fall 2016
ENVD	104	Environmental Design Fundamentals	1	Fall 2016
HDFS	480	Community Resources of Later Life	3	Fall 2016
MATH	453/653	Introduction to Lebesgue Measure	3	Fall 2016
MRKT	436	Advanced Professional Selling	1	Fall 2016
MRKT	438	Customer Relationship Management (CRM) and Sales Technology	3	Fall 2016
PLSC	416/616	Fruit Crop Production	2	Fall 2016
PLSC	625	Potato Science	2	Spring 2017
RELS	340	New Religious Movements	3	Fall 2016
RELS	345	Religion and Politics	3	Fall 2016
RELS	460/660	Theory and Methods of Religious Studies	3	Summer 2016
THEA	345	Devising	3	Fall 2016
WGS	370	Transnational/Global Women	3	Fall 2016

Course Changes								
From:				To:				
Subject	No.	Title	Crs.	Dept	No.	Title	Crs.	Effective Term
ENVD	172	Environmental Design Fundamentals	4	ENVD	172	Environmental Design Fundamentals Studio	3	Fall 2016
HNES	789	Athletic Training Clinical Education IV	3	HNES	789	Athletic Training Clinical Education IV	2	Spring 2017
MATH	129	Basic Linear Algebra	2	MATH	129	Basic Linear Algebra	3	Spring 2017
PLSC	362	Potato Science	2	PLSC	425	Potato Science	2	Spring 2017
RNG	336	Introduction to Range Management	3	RNG	136	Introduction to Range Management	3	Fall 2016
ZOO	450/650	Invertebrate Zoology	4	ZOO	450/650	Invertebrate Zoology	3	Fall 2016

Change in Prerequisites/Co-Requisites and Change in Bulletin Descriptions				
Subject	No.	Title	Prerequisite/Co-requisite Change	Effective Term
AGEC	339	Quantitative Methods & Decision Making	Prereq: ECON 201 and MATH 144 or higher and CSCI 116	Fall 2016
CPM	473	Polymer Synthesis	Prereq: CHEM 240 or CHEM 342	Fall 2016
ENVD	130	Drawing for Environmental Engineers	Desc: Introduction to the skills of graphic expression as employed in architecture and landscape architecture. Co-req: ENVD 102	Fall 2016
HNES	351	Metabolic Basis of Nutrition	Prereq: eliminating CHEM 240	Fall 2016

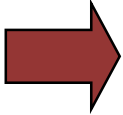
Change in Prerequisites/Co-Requisites and Change in Bulletin Descriptions (continued)				
MATH	129	Basic Linear Algebra	Desc: Systems of linear equations, matrices, determinants, vector spaces, lines and planes in space, linear transformations, eigenvalues and eigenvectors.	Spring 2017
STAT	764	Multivariate Methods	Prereq: STAT 661	Fall 2016

Course Inactivations				
Subject	No.	Title	Crs.	Effective Term
PHRM	300	Principles of Clinical Pharmacology	3	Fall 2016

New Special Topics				
Subject	No.	Title	Crs.	Effective Term
THEA	399	Clown	3	Summer 2016

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION: NDSU Policy 100 – Equal Opportunity and Non-Discrimination

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
 - Is this a federal or state mandate? ☐ Yes XXX ☐ No
 - Describe change: Some of the changes are based on federal or state mandates while others are included in an effort to clarify the policy. Explanation of most pertinent changes/additions found below.
 - (1) “and regulations” – per SBHE Policy 603.1
 - (2) “in furtherance of” – for clarification
 - (3) “NDSU prohibits discrimination and harassment...” – per SBHE Policy 603.1, in alignment with revised Policy 156, and to clarify that Policy 100, entitled “Equal Opportunity and Non-Discrimination,” both promotes equal opportunity and prohibits discrimination (including harassment)
 - (4) removal of “disability” – for clarification (redundant as “physical or mental disability” later addressed in policy)
 - (5) “physical **or** mental disability” – per SBHE 603.2
 - (6) “of the employee or applicant” – for clarification and in alignment with SBHE Policy 603.2, SBHE Policy 603.3., and NDCC 44-04-09
 - (7) “that are made available to NDSU participants, students, applicants, or employees” – per Title IX and Section 504 regulations
 - (8) “in its programs and activities” – per Title IX regulations
 - (9) removal of “disability” – see (4)
 - (10) “participation in lawful off-campus activity” – for clarification and to encompass entirety of protected classes found in Policy 100
 - (11) “physical **or** mental disability” – see (5)
 - (12) “spousal relationship to current employee” – for clarification and to encompass entirety of protected classes found in Policy 100
 - (13) “as applicable” – for clarification as all protected classes do not apply to all individuals at NDSU (for example, “spousal relationship to current employee” only applies to individuals who are employees or applicants for employment at NDSU)
 - Additionally, revisions address recent changes in Title IX responsibility at NDSU.
2. This policy change was originated by (individual, office or committee/organization):
 - Canan Bilen-Green, Vice Provost for Faculty and Equity, Old Main, Suite 201
 - canan.bilen.green@nds.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 100

EQUAL OPPORTUNITY AND NON-DISCRIMINATION POLICY

SOURCE: NDSU President
SBHE Policy 603.1
SBHE Policy ~~Manual, Section~~ 603.2

North Dakota State University (NDSU) is fully committed to equal opportunity in its employment decisions and educational programs and activities, in compliance with all applicable federal and state laws and regulations and in furtherance of including appropriate affirmative action efforts. NDSU prohibits discrimination and harassment against any, for all individuals on the basis of without regard to age, color, disability, gender expression/identity, genetic information, marital status, national origin, physical and mental disability, pregnancy, public assistance status, race, religion, sex, sexual orientation, status as a U.S. veteran, or participation in lawful activity off the employer's premises during nonworking hours which is not in direct conflict with the essential business-related interests of the employer.

Additionally, dDiscrimination against an employee or applicant for employment, with respect to working conditions, work place assignment, or other privileges of employment, merely because the employee's or applicant's spouse is also an employee, is prohibited. Employment in a department or institution headed or supervised by the employee's or applicant's spouse is permitted only if the spouse does not have the power to hire or fire or make evaluations of performance of the employee or applicant.

The following statement notice must be included in all departmental publication such as bulletins, announcements, manuals, publications, guidebooks, brochures, pamphlets, catalogs, application forms, or recruitment materials that are made available to NDSU participants, students, applicants, or employees describing or inviting participation in programs at North Dakota State University. (This notice is not required on departmental homepages.)

Non-Discrimination Policy:

NDSU~~North Dakota State University~~ does not discriminate in its programs and activities on the basis of age, color, disability, gender expression/identity, genetic information, marital status, national origin, participation in lawful off-campus activity, physical and mental disability, pregnancy, public assistance status, race, religion, sex, sexual orientation, spousal relationship to current employee, or veteran status, as applicable status as a U.S. veteran. Direct inquiries to: Vice Provost, Title IX/ADA Coordinator, Old Main 201, 701-231-7708, ndsu.eoaa@ndsu.edu.

~~Vice Provost for Faculty and Equity
Old Main 201
701 231 7708~~

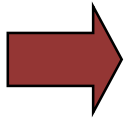
~~Title IX/ADA Coordinator
Old Main 102
701 231 6409~~

HISTORY:

New	May 1972
Amended	April 2, 1991
Amended	April 1992
Amended	August 1993
Amended	August 1999
Amended	February 2005
Amended	December 2007
Amended	June 12 2009
Amended	July 8, 2009
Housekeeping	September 2009
Amended	June 1, 2011
Housekeeping	June 22, 2011
Housekeeping	July 23, 2014
Amended	October 19, 2015
Housekeeping	October 22, 2015

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: 171 Staff and Faculty Recruitment and Moving Expenses

4. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
 - Is this a federal or state mandate? ☒ Yes ☐ No
 - Describe change: To be compliant with NDCC and include section 3 of SBHE policy 806.3 Moving expenses which was omitted in the last amendment dated 10/5/2015.
5. This policy change was originated by (individual, office or committee/organization):
 - Accounting Office, Ricki Martin, 3/22/2016
 - Ricki.martin@ndsu.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

6. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 171

STAFF AND FACULTY RECRUITMENT AND MOVING EXPENSES

SOURCE: NDSU President
SBHE Policy Manual, Sections 806.2 and 806.3
NDSU Policy Manual

1. Stipends or consultant fees may be issued to potential candidates for positions when such persons give on-campus lectures, colloquies, seminars, demonstrations or formal consultations in a manner not significantly different from that of visitors who are not candidates for positions. Such stipends or consultant fees may be authorized from a lecturers' budget or from a consultant budget. *(NDSU Guidelines: Reimbursement is made by an **Accounts Payable voucher**, using account 623025.)*
2. Recruitment travel expenses for a prospective candidate for faculty or staff positions may be reimbursed upon approval of department head/chair.
3. For senior administrative and faculty positions, upon authorization of the President, recruitment travel expenses for the spouse may be authorized for a prospective candidate.
4. Upon approval of the president or designee(s), an institution may, subject to the limits of this policy, pay the moving expenses of a benefited employee hired from outside the institution by:
 - 4.1. Negotiating an amount paid to the employee through payroll as a lump sum for relocation expenses. Such allowance will be reported as taxable income and included on the employee's W-2. The moving allowance will be subject to all tax liabilities at the time of payment; OR
 - 4.2. Using a combination of reimbursing the employee for actual moving expenses and paying the vendor(s) directly. Actual moving expenses include direct travel to and from the new work location, and while in temporary living quarters for the employee and immediate family (not to exceed 10 days total). Meals and mileage expenses will be reimbursed at the per diem and mileage rates established for employee travel reimbursement. Lodging expenses will be reimbursed at the actual cost of the lodging. Transportation expenses for personal items and household goods may be reimbursed at the actual expenses incurred. Additionally, personal travel expenses may also be reimbursed for one round trip to the new work location for the employee and employee's spouse/partner for up to three days to arrange for living

accommodations. It is the responsibility of the employee to provide sufficient documentation to justify the reimbursement; the institution may deny any claim for reimbursement that is not sufficiently documented. Institutions will need to refer to IRS rules and regulations regarding taxability of the expenses in part 4.2.

(Institutions may use either method (4.1 and 4.2, above) but must choose one or the other when paying each individual employee.)

5. Relocation expenses being paid or reimbursed should not exceed one month's salary or a "not to exceed" amount approved by the president or designee(s). (*NDSU LIMITATIONS: Reimbursement for relocation expenses should not exceed one month's salary or \$3,000, whichever is greater. Deviations from this rate must be approved by the President and will only be granted in exceptional circumstances.*)

6. The moving expenses of employees transferring to a new work location within the same institution shall be governed by N.D.C.C. 44-08-04.3.

The following item is NDSU Guidelines:

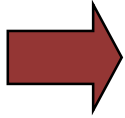
67. The NDSU Accounting Office website provides information on the detailed procedures for processing moving expense transactions under this policy.

HISTORY:

New	July 1990
Amended	April 1992
Amended	January 1995
Amended	April 2005
Amended	August 2006
Amended	June 9, 2011
Housekeeping	July 8, 2011
Housekeeping	September 12, 2012
Amended	September 25, 2012
Amended	October 4, 2012
Amended	October 5, 2015

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: 603 SEXUAL MISCONDUCT AND TITLE IX COMPLIANCE

7. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
 - Is this a federal or state mandate? ☐ Yes ☒ No
 - Describe change: Housekeeping changes as follows:
 - Updating the name, title, and contact information of the new Title IX Coordinator
 - Updating broken links in Sections 6a and 8b

8. This policy change was originated by (individual, office or committee/organization):
 - Office/Department/Name and the date submitted: Student Life / Mary Asheim 4/8/16
 - Email address of the person who should be contacted with revisions: mary.asheim@ndsu.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

9. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 603

SEXUAL MISCONDUCT AND TITLE IX COMPLIANCE

SOURCE: NDSU President

1. INTRODUCTION: North Dakota State University (NDSU) strives to create a campus community free from interpersonal abuse including sexual misconduct. In working to achieve this intent, NDSU commits to:
 - a) Taking action to stop sexual misconduct;
 - b) Taking action to remedy its effects by providing advocacy, support and appropriate referral services for recipients of the behavior;
 - c) Taking action to prevent recurrence;
 - d) Educating individuals and promoting discussions on interpersonal abuse and violence; and
 - e) Conducting impartial investigation of all reports/notices of sexual misconduct through fair, equitable and prompt procedures. Investigations will be independent of and separate from law enforcement investigations of criminal activity.
2. POLICY: This policy is required by federal law and implementation of this policy is guided by the U.S. Department of Education, Office of Civil Rights.
 - a) Sexual misconduct is prohibited in all forms, regardless of intent to harm. Sexual assault, sexual exploitation, coercion and sexual harassment are examples of sexual misconduct, and all are prohibited.
 - b) Also prohibited under Title IX is any rule violated on the basis of the recipient of the behavior's sex/gender which is severe enough to cause a discriminatory effect. (Examples of this may include but are not limited to bullying, cyber-bullying, relationship violence and stalking.)
3. DEFINITIONS: For the purpose of this policy, the following definitions apply:
 - a) Consent is:
 1. Words or actions showing a clear, knowing and voluntary agreement to engage in mutually agreed upon sexual act; or
 2. An affirmative decision given by clear actions or words.

3. Consent may not be inferred from:

- i. Silence, passivity, or lack of active resistance alone.
- ii. A current or previous dating or sexual relationship.

NOTE:

It is important to obtain explicit consent from any sexual partner and not to make assumptions. If confusion or ambiguity on the issue of consent arises anytime during the sexual interaction, it is essential that each participant stops and clarifies, verbally, willingness to continue. Consent to one form of sexual act does not imply consent to other forms of sexual act(s).

- b) Coercion is unreasonable pressure for sexual activity. Coercive behavior differs from seductive behavior based on the type of pressure someone uses to get consent from another. When someone makes clear to you that they do not want sex, that they want to stop, or that they do not want to go past a certain point of sexual interaction, continued pressure beyond that point can be coercive.
- c) Incapacitation is a state where someone cannot make rational, reasonable decisions because they lack the capacity to give knowing consent (e.g., to understand the “who, what, when, where, why or how” of their sexual interaction).
- d) Intimidation is implied threats or acts that cause an unreasonable fear of harm in another.
- e) Responsible employees:
 - 1. Those with authority to address and remedy sex and gender-based discrimination and harassment;
 - 2. Those with responsibility to report sexual misconduct to a supervisor; and/or
 - 3. Those who a student would reasonably believe have such authority or obligation.
- f) Retaliation: Any adverse action taken against a person because of their participation in a protected activity. Retaliation against an individual for alleging sexual misconduct, supporting a complainant or for assisting in providing information relevant to a claim of sexual misconduct will be treated as another possible instance of harassment or discrimination. Any acts of alleged retaliation should be reported immediately to the Title IX Coordinator or a Deputy Title IX Coordinator and will be promptly investigated. NDSU is prepared to take appropriate steps to protect individuals who fear that they may have been subjected to retaliation.
- g) Sexual Acts include, but are not limited to the following actions:
 - 1. Sexual intercourse;
 - 2. Sodomy (oral and/or anal);

3. Sexual penetration with any object;
 4. Sexual touching of a person's intimate parts (genitalia, groin, breasts, buttocks, mouth or other bodily orifice or the clothing covering them); or
 5. Compelling a person to touch his or her own or another person's intimate parts.
- h) Sexual Assault: Any sexual act between two or more people to which one person does not or cannot consent. This includes sexual acts or contacts with others that can involve:
1. Compelling a person to submit to sexual acts or contacts by force, threat of force, or intimidation;
 2. Use of intoxicants to substantially impair the person's power to give consent;
 3. Engaging in such acts when the person suffers from a mental state that renders him or her incapable of understanding the nature of the contact. This includes, but is not limited to, situations when an individual is intoxicated, "high", scared, physically or psychologically pressured or forced, passed out, unconscious, intimidated, coerced, mentally or physically impaired, beaten, isolated, or confined; or
 4. A victim under fifteen (15) years of age. (Do note the age of consent may vary depending on the ages of the individuals involved in the act. For more information see: *a link to the Sexual Assault Prevention Programs location with this information will be provided here.*)
- i) Sexual Exploitation: Taking sexual advantage of another person without consent. Examples include, but are not limited to:
1. Causing the incapacitation of another in order to take sexual advantage of the person;
 2. Distributing or publishing sexual information;
 3. Engaging in indecent exposure;
 4. Engaging in voyeurism (the viewing of another for sexual gratification);
 5. Invasion of sexual privacy;
 6. Knowingly exposing another to an STD or HIV;
 7. Prostituting another person; or
 8. Recording, photographing, or relaying sexual sounds or images.
- j) Sexual Harassment: Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic achievement;
 2. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions or academic decisions affecting such individual; or
 3. Such conduct has the effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive environment.
- k) Sexual Misconduct: Any non-consensual behavior of a sexual nature that is committed by force, intimidation, or is otherwise unwelcome that is sufficiently severe, persistent, or pervasive so as to limit a student's ability to participate in or benefit from an NDSU program or activity. Depending on the circumstances, a single incident of sexual misconduct may be sufficient to limit a student's ability to participate in or benefit from an NDSU program or activity.
4. REPORTING/CONFIDENTIALITY: Students are encouraged to report incidents or information related to sexual misconduct as soon as possible. If criminal activity is involved, students are encouraged to contact NDSU Police or your local law enforcement. NDSU employees who became aware of a complaint or violation of this policy and have the authority to take action on the complaint or violation, shall report the complaint or violation either to the Title IX Coordinator or a Deputy Title IX Coordinator:

~~Eve~~adean M. Myers**~~Canan~~ Bilen-Green, Vice President Provost for Faculty and Equity, Diversity and Global Outreach/Title IX Coordinator**
~~Putnam 102~~Old Main 201
 Phone: 701-231-~~7708~~7040; email: evie.myers@ndsu.edu
canan.bilen.green@ndsu.edu

Janna Stoskopf, Dean of Student Life/Deputy Title IX Coordinator
 Memorial Union 250
 Phone: 701-231-8240; email: janna.stoskopf@ndsu.edu

Colleen Heimstead, Associate Athletics Director for Compliance/Deputy Title IX Coordinator
 Bison Sports Arena 102W
 Phone: 701-231-5696; email: colleen.heimstead@ndsu.edu

The guiding principle in accepting reports or sexual misconduct is to avoid re-victimizing the recipient of the behavior by forcing them into any plan of action. NDSU will make every attempt to safeguard the privacy of the complainant and/or recipient of the behavior; however, it is important that complainants recognize that NDSU cannot ensure confidentiality in all cases. NDSU must weigh the request for confidentiality against its obligation to protect the safety and security of the entire campus. Depending on the circumstances of the offense (the severity of the offense, the number of victims involved, etc.), NDSU may be required to respond to an incident, even if confidentiality has been requested. Therefore, NDSU employees cannot guarantee

absolute confidentiality. Individuals desiring confidentiality should be encouraged to contact one of the following:

F-M Rape & Abuse Crisis Center: 701-293-7273 (Available 24 hours) www.raccfm.com

NDSU Counseling Center: 701-231-7671 (Available 24 hours)

<http://www.ndsu.edu/counseling/>

5. FORMAL/INFORMAL RESOLUTION: NDSU offers both formal and informal resolution of sexual misconduct complaints involving NDSU students, faculty or staff. Regardless of the path chosen by the recipient of the behavior, NDSU will conduct an impartial, fair, and prompt investigation into the allegations, and ensure that actions will be taken to prevent similar actions in the future. Typically, investigation/resolution of the complaint will occur within 60 days. The sexual orientation and/or gender identity of individuals engaging in sexual activity is not relevant to allegations under this policy. Investigation/resolution of the allegations shall include:
 - a) The complainant and the accused having equal opportunities to present relevant witnesses and other evidence;
 - b) Providing both sides with similar and timely access to any information that will be used during the process;
 - c) Equal opportunity to have a support person present, and equal restrictions on how a support person may participate during the process;
 - d) The right of the complainant and the accused to be informed of the outcome of the investigation/resolution, and the right of either party to appeal; and
 - e) The right of the complainant and the accused to receive periodic status updates throughout the investigation/resolution process.
6. FORMAL RESOLUTION: Formal resolution of sexual misconduct complaints will be resolved as follows:
 - a) If the alleged perpetrator is a student, the University will follow the procedure outlined in [NDSU Rights and Responsibilities of Community: A Code of Student Behavior](#).
 - b) If the alleged perpetrator is an NDSU employee, the University will follow the applicable policy for the circumstances (e.g. [Policy 156: Equal Opportunity Grievance Procedures](#), [Policy 162: Sexual Harassment](#)).
 - c) All sexual misconduct cases shall use a “preponderance of the evidence” standard; meaning that in order for the accused to be held responsible, the hearing officer must determine that it is more likely than not that the sexual misconduct occurred.
7. INFORMAL RESOLUTION: Except in cases of sexual assault which always require a formal resolution, complainants may choose to pursue informal resolution of their complaint. Informal resolution is entirely voluntary and the complainant may end informal resolution at any time. Complainants should never attempt to resolve the complaint directly with the accused. In cases of informal resolution, the Title IX Coordinator shall assign a school official with the authority to remedy the alleged violation (e.g. Dean of Student Life, the alleged perpetrator’s supervisor, etc.)

to oversee the informal resolution process. Informal resolution provides the complainant with a forum to confront the accused; to express how the alleged behavior has impacted them and those close to them; and to communicate to the accused and the University how this behavior needs to be addressed so that they, or anyone else at the University, are not victimized again by the behavior.

- a) In cases where the accused acknowledges their involvement in the sexual misconduct, the school official shall impose an appropriate sanction for the misconduct. If the sanction is agreeable to the parties, the informal resolution is complete, and the sanction is imposed. No appeal is allowed.
 - b) In cases where the accused does not acknowledge responsibility, the school official may impose a sanction warranted by the information gathered during the informal resolution, and any supporting information known to the University. The sanction may be appealed either to the Title IX Coordinator or to the Dean of Student Life/Deputy Title IX Coordinator, who shall have the final decision on the appropriate sanction.
8. ANONYMOUS COMPLAINTS: Anonymous complaints will be accepted by the University. The University's ability to investigate and resolve anonymous complaints will be limited if the information contained in the anonymous complaint cannot be verified by independent facts. Anonymous complaints may be filed by any of the following means:
- a) Bias Report Form: <https://www.ndsu.edu/biasreport/>
 - b) Dean of Student Life Anonymous Report Form
https://www.ndsu.edu/student_life/departments_and_programs/sexual_assault_prevention/report_a_sexual_assault/file_an_anonymous_report/
 - c) Sexual Assault Resources and Advocacy (SARA):
http://www.ndsu.edu/student_life/departments_and_programs/sexual_assault_prevention/get_help_now/
9. INTERIM MEASURES: When warranted by the circumstances surrounding a complaint of sexual misconduct, the University may implement interim measures until its investigation concludes. Violation of these interim measures may be considered grounds for additional complaints of sexual misconduct or as retaliation for the ongoing investigation of sexual misconduct. Potential interim remedies include, but are not limited to:
- a) Providing an escort to the complainant so that he/she may move safely on campus;
 - b) Issuing a no contact order to the parties, prohibiting any contact between them;
 - c) Moving the complainant and/or accused to different University housing;
 - d) Altering the class schedule of the parties so that they do not attend the same classes;
 - e) Providing counseling services; and
 - f) Providing academic support services.

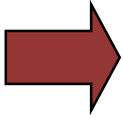
10. **PREVENTION:** NDSU considers both physical surroundings and educational programming in addressing prevention of sexual misconduct. The University continually reviews and modifies the physical surroundings to foster security and safety, including but not limited to such factors as emergency phones, lighting, and locking procedures. For further safety information, contact the NDSU University Police and Safety Office: 701-231-8998 (NDSU University Police) or 701-231-7759 (Safety Office). NDSU offers curricular and co-curricular educational experiences concerning bystander intervention, primary prevention efforts, personal safety, sexual assault, and sexual misconduct. For further information on pertinent campus educational opportunities, contact the NDSU Dean of Student Life Office at 701-231-6560.
http://www.ndsu.edu/student_life/
11. **INTERVENTION:** The NDSU community actively supports individuals who experience sexual misconduct through a coordinated response system that attends to their physical and emotional well-being. NDSU disciplinary efforts respect the personal rights of all parties. For further information, see NDSU Rights and Responsibilities of Community: A Code of Student Behavior and NDSU Calendar Handbook distributed by Residence Life. All reports/notices of sexual assault and sexual misconduct are handled in a manner designed to respect the privacy of the involved individuals, to the extent permitted by law. Incidents are reported to appropriate Departments and agencies in consideration of safety concerns and investigative needs. In addition, NDSU publishes and disseminates annual statistics on incidents of sexual assault in the annual Personal Safety and Security publication (available in printed and online form).
http://www.ndsu.edu/police_safety/police/annualecurityreport/
12. **FALSE COMPLAINTS:** Knowingly submitting a false report of sexual misconduct is prohibited. Anyone submitting a false report is subject to disciplinary action.
13. **FOR MORE INFORMATION** on sexual assault and sexual assault prevention programs, please contact the NDSU sexual assault advocate at ndsu.sa-advocate@ndsu.edu.

HISTORY:

New	September 1995
Amended	October 2007
Amended	January 2008
Amended	June 3, 2011
Amended	September 12, 2013
Housekeeping	September 17, 2013
Housekeeping	July 23, 2014

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: 703 Bison Card Terms and Conditions

10. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).

- Is this a federal or state mandate? ☐ Yes ☒ No
- Describe change: Card Center Name change. Declining Value Account Name Change. Replaced Bison Card and Bison Bucks with NDSU Card and Campus Cash.

11. This policy change was originated by (individual, office or committee/organization):

- Office/Department/Name and the date submitted NDSU Card Center/Wendy McCrory/04/05/2016
- Email address of the person who should be contacted with revisions wendy.mccrory@ndsu.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

12. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 703

~~BISON CARD~~ NDSU CARD TERMS AND CONDITIONS

SOURCE: NDSU President

A. ~~BISON CARD~~ NDSU CARD.

The NDSU ~~Bison Card~~Card is the official North Dakota State University identification card. All faculty, staff and students are required to have a ~~Bison Card~~NDSU Card for identification, security, and access to University buildings and services. The card must be carried at all times while on the NDSU campus. Cardholders must present ~~the~~ card for identification if requested by a University official. The card is valuable and should be treated like cash, a credit card or a key. See [Policy 707](#) for policies on card/key access.

North Dakota State University issues an all-campus card subject to the following terms and conditions:

1. To obtain a ~~Bison Card~~NDSU Card, an individual must first be assigned a university generated identification number.
2. The ~~Bison Card~~NDSU Card is intended for campus use only and must be returned upon request.
3. The ~~Bison Card~~NDSU Card is non-transferable and will be confiscated and returned to the ~~Bison Card~~NDSU Card Center if found in the possession of another person.
4. The ~~Bison Card~~NDSU Card must be presented upon any request for campus services.
5. The cardholder will not damage or alter the card in any manner. This includes, but is not limited to, punching holes in or affixing unapproved stickers to the card.
6. The ~~Bison Card~~NDSU Card, transactions and activities related to the use of the card, and any account balances are the sole responsibility of the individual cardholder.
7. IMMEDIATELY report lost, found, or stolen cards to the NDSU University Police (701-231-8998).

8. A replacement ~~Bison-Card~~NDSU Card can be obtained at the ~~Bison-Card~~NDSU Card Center (Memorial Union). A photo ID is required at the time of replacement.
 9. The ~~Bison-Card~~NDSU Card is valid for as long as the person retains their student, faculty or staff status at NDSU.
 10. A fee is charged for all new cards and a replacement fee is charged for any lost, stolen or invalid card. The first card for all faculty and staff will be charged to his/her department. Billing information is required at the time of the card production. Lost, stolen or invalid cards will be the responsibility of the employee.
 11. Cardholders may only possess one valid ID card. Any card that has been replaced after the previous was lost or stolen is no longer valid. Cards cannot be reactivated.
 12. Associate Status for any individual/group must have prior approval by the NDSU President or Vice President for Student Affairs. Associate Status is granted to groups or individuals who may work on campus, but are not students or staff or the University.
 - 12.1 Associate Status does not guarantee access to all NDSU activities, events, and facilities.
 13. The NDSU Card Department Associate Director, Campus Police or Facilities Management may revoke a ~~Bison-Card~~NDSU Card if it is determined that abuse of the privileges associated with the ~~Bison-Card~~NDSU Card has occurred. Students who misuse their ~~Bison-Card~~NDSU Cards may also be referred to the Dean of Student Life Office for possible disciplinary actions. Faculty or staff misuse will be reported to the faculty or staff members' supervisor.
- B. BISON-BUCKSCAMPUS CASH ACCOUNT.
- ~~Bison-Bucks~~Campus Cash is a debit card service that is linked to the NDSU ~~Bison-Card~~NDSU Card. This benefit is free to ALL students, faculty and staff. There are NO hidden charges, expenses or interest.
1. A \$5 minimum is required for opening a ~~Bison-Buck~~Campus Cash account and for additional deposits.
 2. No minimum balance must be maintained.
 3. Cash refunds are not given for any ~~Bison-Bucks~~Campus Cash purchases at any participating merchants. Credit is returned to the ~~Bison-Bucks~~Campus

Cash account.

4. ~~Bison Bucks~~Campus Cash balances carry over from semester to semester. Refunds on any balance above \$15 at the end of the academic year are available by submitting a Refund Form. For balances below \$15, the customer is required to spend out this amount.
5. For those students who are graduating, withdrawing, or cancelling enrollment from the University, and who also have a balance of \$15 or more on their Bison Bucks~~Campus Cash~~ accounts, the University will first apply the balance to the student's university account. If there is no money owed to the student's NDSU account, ~~the aa~~ refund will be generated.
 - 5.1 If the check or direct deposit funds are returned, the University shall retain it for safekeeping for three years. Attempts are periodically made to contact the student until the time the check is written off and the money is turned over to the state abandoned property office.
 - 5.2 Checks that are neither returned nor cashed for more than two years after becoming payable are presumed abandoned (N.D.C.C. § 47-30.1-02.1).
 - 5.3 Uncashed NDSU checks are accounted for as outstanding checks until they are written off.
 - 5.4 When uncashed NDSU checks are written off, they are temporarily placed in a local NDSU fund for old outstanding checks. On November 1st of each year, NDSU submits the outstanding check funds with the required reports to the state abandoned property office. Separate unclaimed property reports are required for over \$50, versus \$50 and under.
 - 5.5 Per N.D.C.C. § 47-30.1-03, any intangible property (which includes, but is not limited to, moneys, checks and credit balances), that is unclaimed for more than three years becomes abandoned property and is then reported and handed over to the administrator of the state abandoned property office, who is then responsible for the safekeeping and final disposition of the abandoned property.
6. A \$15 fee, or the account balance if it is under \$15, will be imposed for accounts that are inactive for more than one year from the date of the last transaction.

7. Customers with checks returned for insufficient funds will have accounts frozen until payment is received.
8. Funds are non-transferable.
9. IMMEDIATELY report lost or stolen cards to the NDSU University Police (701-231-8998). Once the card has been reported lost, the cardholder is not responsible for any additional purchases. Per federal regulations, the cardholder is responsible for up to \$50 if the lost or stolen card is reported within two business days. If the lost or stolen card is not reported within two business days, the cardholder can be liable up to \$500 or the total account balance, whichever is lower.

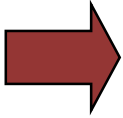
Privacy Statement: Through the Family Educational Rights and Privacy Act, also known as FERPA or the Buckley Amendment, data collected on the use of University facilities and services by an individual cardholder will only be used for University purposes within FERPA guidelines. Information regarding a cardholder's account will not be provided to third parties unless required by applicable laws or within written permission of the cardholder.

HISTORY:

New	April 1998
Amended	May 2005
Amended	October 2007
Amended	March 25, 2011

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION: 707 Access Control and Building Security

13. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).

- Is this a federal or state mandate? ☐ Yes ☒ No
- Describe change: Updated 1.2 with revised name of Policy 703.

14. This policy change was originated by (individual, office or committee/organization):

- Office/Department/Name and the date submitted NDSU Card Center/Wendy McCrory/04/05/2016
- Email address of the person who should be contacted with revisions: wendy.mccrory@nds.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

15. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 707

ACCESS CONTROL AND BUILDING SECURITY

SOURCE: NDSU President

1. The Facilities Management Department is charged with the responsibility to coordinate access control and building security policies.

- 1.1 Each department/unit is responsible for ensuring that proper building security practices are maintained by each respective department. This includes, but is not limited to:

- 1.1.1 Ensuring appropriate use of access control to maintain a secured area;

- 1.1.2 Financial responsibility for re-keying or reissuing the ID card by the respective department in the case of lost, misplaced or stolen keys or ID Cards;

- 1.1.3 Return of key(s) and requesting removal of access of a department member or student who no longer needs access to an area.

- 1.2 Employees will be issued a card, at the expense of the respective department. (See [Policy 703 - ~~Bison~~NDSU Card Terms and Conditions, section A.10.](#))

2. Authorization for access is provided by using the [Key Request form](#) for keys or the [Card Access Request form](#). Upon the receipt of an authorized request, the Facilities Management Department will prepare the key(s), or grant access.

- 2.1 Duplication of an ID card/key, is strictly forbidden and may result in personal financial responsibility and/or disciplinary action against the individual responsible for the duplication.

- 2.2 All keys issued through this authorization process are considered property of the University.

2.3 Immediately report lost, found or stolen ID cards to the University Police at 231-8998.

3. There shall be one key and access control official for each building designated by the department having the broadest responsibility in the building. The Facilities Management Department will maintain a current list of each building's key and access control official.

4. Effective building security is possible only through the cooperative efforts of University Police, Facilities Management and most importantly, the building occupants. The following rules apply:

4.1 Keys and ID cards are not to be left unattended on desks, in door locks, or carried in such a manner as to be susceptible to loss or theft.

4.2 When faculty, staff, or students leave a building after hours, the exterior door lock must be set to prevent unauthorized access. If the door does not close or lock properly, notify the University Police (231-8998) immediately.

4.3 The University Police must be notified whenever a potential or actual security problem exists, i.e., unauthorized entry, theft of property, or loss of keys or ID cards.

5. Institutional Security System enhancements: An electronic network has been established to provide access control and monitor various activities on campus, involving access control devices, intrusion devices, and video cameras, where applicable. The access control devices are installed at select interior and exterior doors and spaces.

5.1 Intrusion devices and video cameras monitor select spaces requiring a continuing level of security. The installation of the devices may be requested from Facilities Management via a work request.

5.2 The requesting department will be responsible for the cost of the devices, installation, connectivity and system maintenance. Contact Facilities Management for a project cost estimate.

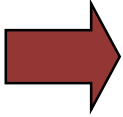
HISTORY:

New	July 1990
Amended	July 1993
Amended	July 1996
Amended	March 1998

Amended June 2007

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION:

Policy 802 State Supported Agreements

16. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
- Is this a federal or state mandate? ☐ Yes ☒ No
 - Describe change: Policy was updated in 2009 and the request was made to have the title changed to "Federal Flow-Through Agreements". For some reason that change was never made, but in keeping with the current language and intent of this Policy, that title change needs to be made.
 -
17. This policy change was originated by (individual, office or committee/organization):
- Research and Creative Activity/Sponsored Programs
 - Val.kettner@nds.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

18. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 802

FEDERAL FLOW-THROUGH AGREEMENTS

SOURCE: NDSU President

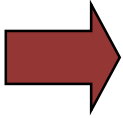
When a sponsored agreement is received from a non-federal entity, Sponsored Programs Administration will make a determination about the actual source of the funding provided by the entity. If the entity is using federal money to support the project, the University must account for the funds as if they were federal funds. Thus, the institution must adhere to all federal guidelines and restrictions of the federal agency supporting the project.

HISTORY:

New	July 1990
Amended	April 1992
Amended	August 2007
Amended	October 2009
Housekeeping	February 14, 2011

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION: Policy 816 Rebudgeting on Sponsored Agreements

19. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).

- Is this a federal or state mandate? ☐ Yes ☒ No
- Describe change: Numerous changes requested to update references to Grants Management System, to remove redundancies and to remove references that are procedures versus policies.
-

20. This policy change was originated by (individual, office or committee/organization):

- Research and Creative Activity/Sponsored Programs and Finance & Administration/Grant & Contract Accounting
- Val.kettner@nds.edu and/or ann.young@nds.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

21. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 816

REBUDGETING ON SPONSORED AGREEMENTS

SOURCE: NDSU President

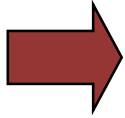
1. The Grants Management System has the capability to check for available funds at four different levels of restriction. The base level of restriction is determined by the terms and conditions of the sponsoring agency.
 - 1.1 BUDGET LINE. Each expense processed is checked against the budget for that specific line item.
 - 1.2 BUDGET CATEGORY. Each expense processed is checked against the sum of budgets within a given category. The categories are
 - 1) Personnel,
 - 2) Operating,
 - 3) Equipment, and
 - 4) Deductions and Transfers (indirect cost).
 - 1.3 TOTAL DIRECT: Each expense processed is checked against the sum of all budgets, excluding indirect cost budget, within the project to determine if sufficient funds are available.
 - 1.4 BUDGET TOTAL. Each expense processed is checked against the sum of all budgets within the project to determine if sufficient funds are available.
2. If a department wishes to incur an expense under a different line item, or category if Budget Category, or incur expenses over the amount budgeted for a line or category if Budget Category, an email should be submitted to Grant and Contract Accounting explaining the circumstances requiring the rebudget. Grant & Contract Accounting will review the terms and conditions of the award for the sponsoring agencies requirements. If approval is required by the sponsoring agency, Grant and Contract Accounting will forward the request to Sponsored Programs Administration. Sponsored Programs Administration will request approval from the sponsor.
3. If a project becomes overspent, the department is liable for covering those overages through a local/non grant fund.

HISTORY:

New	July 1990
Amended	April 1992
Amended	May 1996
Amended	August 2007
Amended	November 2008

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: 156. EQUAL OPPORTUNITY GRIEVANCE PROCEDURES

22. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).

- Is this a federal or state mandate? ☐ Yes (federal) ☐ No
- Describe change:

This policy has been updated to comply with Office of Civil Rights requirement on procedures for resolving complaints of discrimination in violation of NDSU's Equal Opportunity and Non-Discrimination Policy 100, including complaints of harassment or retaliation.

23. This policy change was originated by (individual, office or committee/organization):

- Office of the Provost
- canan,bilen.green@ndsu.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

24. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 156

DISCRIMINATION, HARASSMENT, AND RETALIATION COMPLAINT PROCEDURES

SOURCE: NDSU President

1. INTRODUCTION

1.1 North Dakota State University (NDSU) prohibits discrimination in its employment decisions and educational programs and activities on the basis of age, color, gender expression/identity, genetic information, marital status, national origin, physical or mental disability, pregnancy, public assistance status, race, religion, sex, sexual orientation, spousal relationship to current employee per SBHE Section 603.2, status as a U.S. veteran, or participation in lawful activity off NDSU's premises during nonworking hours which is not in direct conflict with the essential business-related interests of NDSU. (See NDSU Section 100, Equal Opportunity and Non-Discrimination Policy).

1.2 NDSU is committed to providing a safe and non-discriminatory learning, living, and working environment for all members of its university community. Specifically, NDSU is committed to taking action to:

- 1) Stop discrimination;
- 2) Remedy the effects of discrimination;
- 3) Prevent the recurrence of discrimination; and
- 4) Educate the university community about their rights and responsibilities regarding discrimination.

1.3 NDSU has committed itself to the establishment and adoption of procedures to resolve complaints of discrimination in violation of NDSU's Equal Opportunity and Non-Discrimination Policy, including complaints of harassment or retaliation. A central purpose of these complaint procedures is to provide a system at NDSU to conduct adequate, reliable, and impartial investigations of complaints of discrimination. NDSU's primary concern is to enact and implement complaint procedures that encourage reporting of discrimination and that ensure the rights of NDSU students, employees, and all other participants in its educational programs and activities are protected.

2. DEFINITIONS

2.1 **Discrimination** – Different or unequal treatment of an individual (or group), based on one or more of the protected classes of the individual (or group), except as where

permitted or required by law, that negatively affects their education, employment, or other participation in educational programs or activities.

2.1.1 Protected classes for purposes of these procedures are: age, color, gender expression/identity, genetic information, marital status, national origin, physical or mental disability, pregnancy, public assistance status, race, religion, sex, sexual orientation, spousal relationship to current employee per SBHE Section 603.2, status as a U.S. veteran, or participation in lawful activity off NDSU's premises during nonworking hours which is not in direct conflict with the essential business-related interests of NDSU. (See NDSU Section 100, Equal Opportunity and Non-Discrimination Policy).

2.2 **Discrimination complaint** – A complaint alleging discrimination in violation of NDSU's Equal Opportunity and Non-Discrimination Policy, including complaints of harassment or retaliation.

2.3 **Equity Director** – For purposes of these procedures, the Equity Director is NDSU's Vice Provost and Title IX/ADA Coordinator.

2.4 **Equity Office** – For purposes of these procedures, the Equity Office is NDSU's Office of the Vice Provost for Faculty and Equity.

2.5 **Harassment** - A form of discrimination; unwelcome oral, written, graphic, or physical conduct, based on one or more of the protected classes (see 2.1.1) of an individual (or group), that is sufficiently severe, persistent, or pervasive so as to unreasonably interfere with their education, employment, or other participation in educational programs or activities or that creates a working, learning, or educational program or activity environment that a reasonable person would find hostile, intimidating, or abusive. Harassment may include, but is not limited to, threats, physical contact or violence, offensive jokes, insults or put-downs, slurs or name calling, vandalism/graffiti, or offensive objects or pictures. Petty slights, annoyances, and isolated incidents (unless very serious) typically do not rise to the level of harassment.

3. FILING A DISCRIMINATION COMPLAINT

3.1 Current or former NDSU students or employees, applicants for admission or employment, or any other participants in NDSU's educational programs or activities, or any group thereof, are encouraged to file a complaint if they believe they have been discriminated against in violation of NDSU's Equal Opportunity and Non-Discrimination Policy, which may include a complaint of harassment or retaliation. A complaint may be filed concerning alleged discriminatory conduct that occurred on NDSU's premises or off campus.

3.1.1 How to file a discrimination complaint - A discrimination complaint is initiated by completing a NDSU Discrimination/Harassment/Retaliation Complaint Form (Complaint Form) and filing it with the Equity Director. The Complaint Form is available online at <https://www.ndsu.edu/forms/> or by contacting the Equity Office in Suite 201, Old Main, NDSU Main Campus, 701-231-7708, ndsu.eoaa@ndsu.edu. The Complaint Form can be submitted via email at ndsu.eoaa@ndsu.edu or by bringing it to the Equity Office. The Equity Office is available to assist with completing the Complaint Form as needed.

Anyone who would like to file a discrimination complaint against a student or student organization also has the option of filing the complaint with the Dean of Student Life, Memorial Union 250, NDSU Main Campus, 701-231-8240, janna.stoskopf@ndsu.edu. Discrimination complaints filed against a student or student organization will be resolved in coordination with the Dean of Student Life Office. If a discrimination complaint against a student or student organization will be resolved through formal resolution, a hearing, and any appeal, will be administered by the Dean of Student Life Office, in coordination with the Equity Office, under the procedures found in Rights and Responsibilities of Community: A Code of Student Conduct.

3.1.2 Deadline for filing a discrimination complaint - NDSU encourages those who believe they have been discriminated against to file a discrimination complaint as soon as possible. Unless the Equity Director agrees otherwise in writing, the Complaint Form must be submitted within 180 calendar days of the most recent incident of discrimination.

3.1.3 Confidentiality cannot be guaranteed - Depending on the nature of the discrimination complaint, NDSU will keep the complaint and its investigation confidential to the extent that it is possible. However, confidentiality cannot be guaranteed under these procedures as NDSU may have an obligation to take specific actions once aware of alleged discriminatory conduct.

3.1.4 Confidential support resources - If seeking a confidential resource, NDSU students may contact the NDSU Counseling Center at 212 Ceres Hall, NDSU Main Campus, 701-231-7671. The Faculty/Staff Assistance Program, as described in NDSU Section 134, is a confidential resource for NDSU employees.

3.1.5 Anonymous reporting - NDSU students, faculty, and staff may submit an anonymous form to report acts of bias, bigotry, or hate at NDSU.

NDSU may be limited in its ability to respond to a report if it is submitted anonymously. Additionally, in very limited circumstances, NDSU may need to take action to learn the identity of an individual who submitted an anonymous report. For more information, see ndsu.edu/biasreport/.

4. RETALIATION PROHIBITED

4.1 NDSU encourages reporting of discrimination and will not discipline any individual (or group) who makes a good faith report of discrimination. Any individual (or group) reporting discrimination or otherwise participating in these procedures is entitled to protection from retaliation as a result of their activity under these procedures. Retaliation may include, but is not limited to, intimidation, harassment, reprisal, or other negative changes in education or employment. Anyone who believes they have been retaliated against for their participation under these procedures is encouraged to file a Complaint Form, which will be processed under these procedures as a separate matter from the originally filed discrimination complaint, if any. Anyone found responsible for retaliation will be subject to disciplinary action, up to and including termination or expulsion.

5. REMEDIAL MEASURES

5.1 Upon receipt of a discrimination complaint or as otherwise informed of alleged discrimination under these procedures, NDSU will, where appropriate, take reasonable steps to remedy the harm to those affected by discriminatory conduct. Remedial measures may include, but are not limited to, a no contact directive, a safety plan, residence modifications, academic modifications and support, work schedule and/or location modifications, parking modifications, referral to counseling or other health services, administrative leave, temporary suspension, or any other measure deemed appropriate by NDSU.

6. PRELIMINARY EVALUATION OF DISCRIMINATION COMPLAINT

6.1 Preliminary evaluation determination - The Equity Director will evaluate the discrimination complaint and decide to either: (1) pursue further action; or (2) dismiss the discrimination complaint. A discrimination complaint may be dismissed if: (1) it fails to allege any facts that suggest discrimination, harassment, or retaliation; or (2) an appropriate resolution or remedy has already been achieved. NDSU will not dismiss a complaint because it alleges discriminatory conduct that took place off campus. Rather, in the course of its investigation of the complaint, NDSU will determine whether the alleged off-campus conduct: (1) occurred within the context of an educational program or activity; and/or (2) has created or reasonably may create a hostile educational or work environment.

Unless there are extenuating circumstances, the preliminary evaluation will be completed within 3 business days of receipt of the discrimination complaint and

the decision will be provided in writing to the individual (or group) who filed the complaint. If the Equity Director requires further information from the individual (or group) who filed the discrimination complaint before making a decision, the decision will be made within 3 business days of receipt of the additional information requested. In the case of a dismissal, the Equity Director may provide information or guidance regarding other avenues for support or resolution of the complaint, if appropriate and available.

- 6.2 Notice of action** – If the Equity Director determines that further action on a discrimination complaint is warranted, the Equity Office will provide written notice to the individual (or group) who filed the discrimination complaint and the individual (or group) against whom the complaint was filed (collectively, the Parties) within 3 business days of the determination made pursuant to 6.1 unless there are extenuating circumstances that delay the proposed timeline. The written notice will include, at a minimum: (1) the names of the Parties; (2) the basis for the discrimination complaint; (3) a statement that retaliation is prohibited; (4) a statement that requested responses or documentation must be provided in a timely manner; and (5) a description of the resolution process, including a copy of the relevant procedures. A modified notice of action may also be provided to an administrator or supervisor who has control over the environment in which the alleged discriminatory conduct took place. The intent of the modified notice of action is to preserve confidentiality to the extent possible while also putting the administrator or supervisor on notice of their responsibility to monitor for retaliation or further discrimination.

7. INFORMAL RESOLUTION

- 7.1 Informal resolution defined** - Informal resolution is a process in which the Parties attempt to agree upon the resolution of a discrimination complaint without a comprehensive investigatory and determination process. Unless there are extenuating circumstances, the entire informal resolution process will be completed within 30 calendar days of its initiation.
- 7.2 Informal resolution is optional** - When providing the notice of action to the Parties, the Equity Office may inquire if the Parties are interested in attempting to resolve the discrimination complaint through informal resolution. The Parties will have 3 business days to individually decide if they would like to use informal resolution and should inform the Equity Office of their decisions in writing. The informal resolution process will only be used upon mutual agreement of the Parties. Either party may inform the Equity Office at any time that they want to discontinue their participation in the informal resolution process and the formal resolution process will commence. The Equity Director reserves the right to deny the Parties the option of using the informal resolution process if it is deemed to be inappropriate or inadequate as applied to a particular discrimination complaint.

7.3 Informal resolution process - Informal resolution may involve the Equity Office, the Dean of _____ Student Life Office, administrators, supervisors, and/or external moderators working with _____ the Parties to arrive at an appropriate and mutually agreeable resolution of the _____ discrimination complaint. The informal resolution process will not require that the Parties _____ meet face-to-face to resolve the discrimination complaint but may allow it, depending on _____ the nature of the complaint and the power differential between the Parties.

7.4 Informal resolution agreement - If the Parties resolve the discrimination complaint through _____ the informal resolution process, the Equity Office will draft an informal resolution agreement, _____ which the Parties will sign. A signed copy of the informal resolution agreement will be _____ provided to the Parties, as well as to any administrator or supervisor provided with a _____ modified notice of action as described in 6.2. There is no available appeal of a signed _____ informal resolution agreement.

8. FORMAL RESOLUTION

8.1 Formal resolution applicability - The formal resolution process will commence if: (1) either party elects to use the formal resolution process instead of the informal resolution process; (2) the Parties are unable to mutually agree upon a resolution under the informal resolution _____ process; or (3) the Equity Director determines the informal resolution process is _____ inappropriate or inadequate as applied to a particular discrimination complaint.

8.2 Comprehensive investigation – A properly trained investigator(s) will conduct a _____ comprehensive investigation under the formal resolution process in an adequate, reliable, _____ and impartial manner. Unless there are extenuating circumstances, including when the Parties are unable to mutually agree upon a resolution under the informal resolution _____ process, a comprehensive investigation will commence within 5 business days of providing _____ the notice of action to the Parties as described in 6.2. A comprehensive investigation will include the following steps, as relevant and available:

- (1) An interview with each of the parties;
- (2) Interviews with witnesses identified by the Parties or determined otherwise; and
- (3) A review of evidence provided by the Parties or collected otherwise.

_____ Equal opportunity will be given to the Parties to access and present evidence during the _____ investigation. The Parties will be provided with periodic status updates throughout the _____ course of the investigation.

8.3 Investigator(s) - A staff member(s) in the Equity Office may conduct the comprehensive _____ investigation of the discrimination complaint or the Equity Director may delegate _____ investigative duties to another properly trained investigator(s). Within 3 business days of _____ notice of the identity of an investigator(s).

either party may provide the Equity Director with a _____ written request asking that another investigator(s) be assigned if the party believes there is a conflict of interest with the investigator(s). Where appropriate, a new investigator(s) will be _____ assigned and the Equity Director will provide the Parties with written notice of the newly _____ assigned investigator(s).

8.4 Responsibilities of the Parties – Deadlines for completing actions under these procedures _____ will be communicated in writing to the Parties, who must make every effort to comply with the deadlines communicated to them. Timeliness is particularly important under the formal resolution process as determinations may be made based on available information if a party _____ fails to respond in a timely manner to action requested by an investigator(s). In extenuating _____ circumstances, an extension to a deadline may be granted by the Equity Director and will be _____ communicated in writing to the Parties.

8.5 Standard of proof – The applicable standard of proof under the formal resolution process is _____ “preponderance of the evidence” – meaning, in order for an individual (or group) against _____ whom a discrimination complaint was filed to be held responsible for discrimination, it _____ must be determined that it is *more likely than not* that the individual (or group) violated _____ NDSU’s Equal Opportunity and Non-Discrimination Policy, which may include harassment or retaliation.

8.6 Preliminary determination report – After an investigator(s) has finished the comprehensive _____ investigation of a discrimination complaint, the investigator(s) will draft a preliminary _____ determination report that states whether the individual (or group) against whom the _____ discrimination complaint was filed is responsible for discrimination, including harassment or _____ retaliation, by a preponderance of the evidence. The report will also include, at a minimum, _____ a summary of the relevant information gathered during interviews and otherwise that _____ informed the preliminary determination. Unless there are extenuating circumstances, the _____ report will be drafted within 30 calendar days of initiation of the comprehensive _____ investigation. The report will be provided to the Parties and the review committee (see _____ 8.7). The Parties will have 5 business days from receipt of the report to dispute the preliminary determination and/or any information found in the report in writing. As needed, the Equity Office is available to facilitate finding a resource to assist a party with _____ putting its response in writing.

8.7 Review committee – Unless there are extenuating circumstances, a review committee will _____ meet within 10 calendar days of issuance of the preliminary determination report in order to _____ make a final determination on the report and to recommend disciplinary action, if any. The _____ review committee will be comprised of no fewer than 3 properly trained NDSU _____ faculty, staff members, and/or students that do not have a conflict of interest with the Parties. If a party _____ believes there is a conflict of interest with a member(s) of the review committee, the party should follow the procedures and deadline established in 8.3 to dispute the member(s).

- 8.8 Final determination** – Prior to meeting, review committee members will review the preliminary determination report and any written response to the report made by the Parties. The review committee may ask the investigator(s) who issued the preliminary determination report to be available during their meeting in order to answer questions related to the investigation and to provide access to documentation in the investigative file as needed. In limited circumstances, the review committee may request that the investigator(s) gather additional information if the committee decides it cannot make a determination without the additional information. In that case, each party will be provided with the additional information gathered and will have the opportunity to respond to it in writing. The final determination will include recommended disciplinary action, if any, in addition to a finding as to whether, by a preponderance of the evidence, discriminatory conduct, including harassment or retaliation, occurred. The final determination, as well as notice of the right to appeal as afforded in 8.12, will be provided in writing to the Parties.
- 8.9 Disciplinary action for discriminatory conduct** – NDSU does not tolerate discrimination, including harassment or retaliation, and will take appropriate disciplinary action against anyone found responsible for discrimination. Students found responsible for discrimination under the procedures in Rights and Responsibilities of Community: A Code of Student Conduct will be subject to disciplinary action, up to and including expulsion. Employees found responsible for discrimination under these procedures will be subject to disciplinary action, up to and including termination. The disciplinary action recommended by the review committee will depend on the severity of the discriminatory conduct and whether the individual (or group) was previously found responsible for discrimination.
- 8.10 Imposition of disciplinary action** – Disciplinary action will be imposed by the appropriate administrator or supervisor on behalf of NDSU. If neither party exercises the right to appeal as afforded in 8.12, the Equity Director will either: (1) notify any administrator or supervisor provided with a modified notice of action as described in 6.2 that the matter has been resolved without recommended disciplinary action; or (2) provide the final determination to the appropriate administrator or supervisor, whether previously provided a modified notice of action as described in 6.2 or otherwise, and consult with the administrator or supervisor regarding imposition of the recommended disciplinary action. If the administrator or supervisor disagrees with the recommended disciplinary action, the administrator or supervisor must provide its basis for disagreement in writing to the Equity Director within 3 business days of receipt of the final determination. If either party exercises the right to appeal, (1) or (2) will be conducted by the Equity Director once the appeal process has concluded.
- 8.11 Conclusion of formal resolution** – Excluding any appeal, the formal resolution process will be completed within 60 calendar days of the date the discrimination complaint was filed unless there are extenuating circumstances. Any reason for an

extension to the 60 calendar day deadline will be communicated in writing to the Parties.

- 8.12 Appeal of final determination** – Within 5 business days of receipt of the final determination, either party may appeal the determination by completing a NDSU Discrimination Appeal Form (Appeal Form) and filing it with the Equity Director. The Appeal Form is available online at <https://www.ndsu.edu/forms/> or by contacting the Equity Office in Suite 201, Old Main, NDSU Main Campus, 701-231-7708, ndsu.eoaa@ndsu.edu. The Appeal Form can be submitted via email at ndsu.eoaa@ndsu.edu or by bringing it to the Equity Office. As needed, the Equity Office is available to facilitate finding a resource to assist a party with completing the Appeal Form.

The grounds upon which a party can request an appeal are: (1) the recommended disciplinary action is substantially disproportionate to the findings; (2) procedural error led to an improper final determination; and/or (3) new evidence that was previously unavailable should be considered as it could have had a significant impact on the final determination. If an appeal is granted under (3), the Equity Director will require that the review committee meet again to determine if the final determination should be altered in light of the new evidence. The party who did not provide the new evidence will have the opportunity to respond to the evidence in writing. If the final determination is altered under (3), the Parties will be afforded the opportunity to appeal again under (1) and/or (2) within 5 business days of receipt of the altered final determination. If an appeal is granted under (1) or (2), the Equity Director will evaluate the final determination in an impartial manner in light of the information found in the Appeal Form and will alter or reaffirm the final determination accordingly. Unless there are extenuating circumstances, the appeal process will be completed within 10 business days of submission of the Appeal Form and the results will be provided in writing to the Parties. In cases in which there is a conflict of interest, such as when the grounds for appeal involve action taken by the Equity Director, the Provost will conduct the appeal process.

9. INTERSECTION WITH OTHER RELEVANT NDSU POLICIES

- 9.1** The procedures described above do not eliminate the rights of a party to subsequently participate in pre-disciplinary action review and/or an appeal as afforded elsewhere under NDSU policy. Furthermore, for purposes of these procedures, an appeal process available to the individual (or group) against whom a discrimination complaint was filed must be available to the individual (or group) who filed the discrimination complaint.
- 9.2 Nonbanded, nonacademic staff** – The applicable policy for nonbanded, nonacademic staff regarding subsequent pre-disciplinary action review and/or an appeal is NDSU Section 183, Nonrenewal and Dismissal of Nonbanded, Nonacademic Staff.

9.3 Regular staff employees – The applicable policies for regular staff employees regarding subsequent pre-disciplinary action review and/or an appeal are NDSU Section 220, Staff Job Discipline/Dismissal and NDSU Section 231, Appeal Procedure for Disciplinary and Reduction in Force Actions.

9.4 Faculty – The applicable policies for faculty regarding subsequent pre-disciplinary action review and/or an appeal are NDSU Section 350.3, Board Regulations on Nonrenewal, Termination or Dismissal of Faculty and NDSU Section 350.4, Board Regulations on Hearings and Appeals.

10. NOTICE OF MANDATORY REPORTING RESPONSIBILITIES AND TRAINING

10.1 It is the responsibility of the entire university community to foster a safe and non-discriminatory learning, living, and working environment. NDSU employees have specific responsibilities when they observe discrimination or receive a report of discrimination. NDSU employees must not dissuade an individual (or group) from providing them with a report of discrimination but should inform the individual (or group) of their mandatory reporting responsibilities as described below.

10.1.1 Observance of discrimination – All NDSU employees who observe discrimination, including harassment or retaliation, must document the discrimination and contact the Equity Office in accordance with 10.2.

10.1.2 Report of discrimination – All NDSU employees who receive a report of discrimination *involving a student*, including harassment or retaliation, must document the report and contact the Equity Office in accordance with 10.2. NDSU supervisors, managers, department heads, deans, directors, or administrators who receive a report of discrimination *involving employees*, including harassment or retaliation, must document the report and contact the Equity Office in accordance with 10.2. The provisions of 10.1.2 do not apply to confidential support resources providing services as described in 3.1.4.

10.2 To comply with 10.1.1 or 10.1.2, NDSU employees must promptly complete and submit an NDSU Discrimination Report Form (Report Form) to the Equity Director. The Report Form is available online at <https://www.ndsu.edu/forms/> or by contacting the Equity Office in Suite 201, Old Main, NDSU Main Campus, 701-231-7708, ndsu.eoaa@ndsu.edu. The Report Form can be submitted via email at ndsu.eoaa@ndsu.edu or by bringing it to the Equity Office. The Equity Office can assist with completing the Report Form as needed. The Equity Office is the official university record holder for documentation under these procedures.

10.3 Upon receipt of a Report Form, NDSU will initiate its discrimination complaint procedures.

10.4 **Mandatory training** - All NDSU employees must complete equal opportunity and non-discrimination training on an annual basis. In addition to mandatory training, employees are encouraged to contact the Equity Office with any questions they may have related to equal opportunity and non-discrimination at NDSU, including inquiries regarding their responsibilities as mandatory reporters.

11. **DISCRETIONARY INVESTIGATION**

11.1 The Equity Office reserves the right to initiate an investigation under these procedures at its discretion in the absence of a discrimination complaint or report of discrimination in order to fulfill NDSU's commitment to taking action to stop discrimination, remedy its effects, and prevent its recurrence.

12. **FILING WITH AN EXTERNAL AGENCY**

12.1 An individual (or group) also has the right to file a discrimination complaint with one or more of the following external agencies. Please note that these agencies have their own deadlines for filing a discrimination complaint. Please contact the agencies directly for more information about applicable deadlines.

North Dakota Department of Labor and Human Rights

Phone: 1-800-582-8032

TTY: 1-800-366-6888

humanrights@nd.gov

www.nd.gov/labor

U.S. Department of Education

Office for Civil Rights

Phone: 1-800-421-3481

TDD: 1-800-877-8339

OCR@ed.gov

www2.ed.gov/ocr

U.S. Equal Employment Opportunity Commission

Phone: 1-800-669-4000

TTY: 1-800-669-6820

info@eeoc.gov

www.eeoc.gov

SECTION 156

EQUAL OPPORTUNITY GRIEVANCE PROCEDURES

SOURCE: NDSU President

a. ~~INTRODUCTION~~

~~1.1 The purpose of these grievance procedures is to provide a fair and orderly system for review at North Dakota State University of alleged~~

violations, of equal opportunity laws, regulations, and policies that prohibit discrimination against all protected classes as defined in NDSU Policy 100.

1.2—Any individual or group filing a grievance under this procedure is entitled to protection from harassment, reprisals or retaliation as a result of having filed the grievance. Retaliation may, in itself, constitute grounds for a grievance.

1.3—Parties (the grievant and party whose action is the subject of the grievance) to a grievance filed under this procedure will make every effort to comply with the established timelines for giving notices and completing actions related to the grievance. In extenuating circumstances, these timelines may be extended by the NDSU Vice President for Equity, Diversity and Global Outreach ("Diversity Officer") in consultation with the parties.

~~b. ADMINISTRATIVE REVIEW OF GRIEVANCE~~

2.1—Any student, employee of the University, or any group of such persons who is affected by an apparent violation of equal opportunity laws, regulations, or policies shall be entitled to an administrative review of the grievance.

2.1.1—The review is initiated by completing the NDSU Formal Equal Opportunity Grievance Form (available from the NDSU Office for the Vice President for Equity, Diversity and Global Outreach) and filing it with the Diversity Officer. Unless the Diversity Officer stipulates otherwise, the grievance form must be submitted within six months of the alleged violation.

2.1.2—This review shall include: (1) an administrative inquiry into the facts of the case; (2) a discussion of the case by the Diversity Officer with the grievant and, the party whose action is the subject of grievance; (3) a conclusion by the Diversity Officer regarding whether or not the case involves a violation of equal opportunity rights; (4) an attempt to achieve a mutually acceptable resolution of the grievance; and (5) a written communication of that conclusion to the grievant and the party whose action is the subject of the grievance. Unless there are extenuating circumstances, the administrative review will be completed within 30 calendar days after the date of the filing.

2.1.3—As an alternative to this review, a grievant may pursue any channel of review applicable under another University policy (such as the Grade Appeals Board policy for students [Section 337], the

~~Grievance Procedure for Conditions of Employment or Appeal Procedure for Disciplinary and Reduction In Force Actions [Sections 230 and 231, respectively], or the Board Regulations on Nonrenewal, Termination or Dismissal of Academic Staff, the Board Regulations on Hearings and Appeals, or Grievances—Faculty [Sections 350.3, 350.4 and 353 respectively]].~~

~~e. VOLUNTARY MEDIATION~~

~~3.1—If the grievant and party whose action is subject of the grievance both agree to mediate, the provisions of Policy 350.5—Mediation shall apply for all employees.~~

~~3.2—If voluntary mediation is unsuccessful, the grievant may request a hearing of the grievance pursuant to section 4.1.~~

~~d. GRIEVANCE HEARING~~

~~4.1—Either party of the grievance will have **ten (10) working days to appeal the written conclusion in section 2.1.2 or from the termination of an unsuccessful mediation under section 3.** A grievance shall be heard by a five member Equal Opportunity Hearing Committee. The Student Body President, Faculty Senate President and the Staff Senate President shall designate the chair and other members for this committee from among the University Equal Opportunity Hearing Panel, which shall consist of the following 18 members:~~

- ~~▪—6 NDSU students appointed by the Student Body President,~~
- ~~▪—6 NDSU faculty members appointed by the President of the Faculty Senate, and~~
- ~~▪—6 NDSU broadbanded employees appointed by the Staff Senate President.~~

~~4.1.1—For each group of panel appointees, those responsible for designating the panel shall strive to have a diverse panel. Part time students and regular employees are eligible for appointment.~~

~~4.1.2—Committee members shall disclose any conflict of interest they may have to the committee. The parties can also challenge a committee member for a conflict of interest. The Student Body President, President of Faculty Senate, and the Staff Senate President shall decide, by majority vote, whether challenges have merit. Replacements shall be appointed in the same manner as original appointments.~~

~~4.2—An Equal Opportunity hearing committee shall conduct its hearing in accordance with the following requirements: The committee may appoint a hearing officer with authority to conduct pre-hearing meetings, supervise discovery, advise the committee or preside over the hearing. The~~

responsibilities for conducting the hearing are then assumed by the hearing officer, subject to decisions by the committee.

4.2.1—Any grievant requesting a hearing must file a written statement with the hearing committee indicating the grounds upon which a violation of equal opportunity is alleged to exist. Upon receipt of this statement, the committee chairperson shall schedule a date for an initial hearing.

4.2.2—The committee shall attempt to schedule hearing sessions only when all of its members are able to be present. If the committee decides, however, that the parties interests are best served by scheduling a session even when one or more of the committee members are not able to be present, then the absent members shall be responsible for reviewing the tape recordings of that session to familiarize themselves with the evidence presented at that time.

4.2.3—Attendance at any hearing shall be limited to the committee members, the parties, and their attorneys or other representatives and witnesses, unless both the parties shall agree to offer an express invitation for a particular hearing or session to the public or representatives of the press. Witness may be sequestered whether the hearing is open or closed.

4.2.4—The committee chairperson shall preside at all sessions. Any party or representative wishing to present evidence, examine witnesses, summarize evidence, or present arguments shall do so only with the consent of the chairperson. The committee shall tape record sessions (and /or hire a court reported) at which testimony is heard and shall allow controlled access to the tape for review or transcription by any party as defined in subsection 1.3 directly involved in the proceedings. The committee shall also keep summary minutes of its proceedings.

4.2.5—At the beginning of a hearing, the committee shall provide an opportunity for opening statements to be made, first by the grievant, then by the party defending whose action is subject of the grievance. The committee shall then rely upon the opposing parties to call the necessary witnesses and present relevant evidence. The committee shall reserve the right, however, to call its own witnesses and to act in an investigative capacity itself, should the need arise.

~~4.2.6 The committee shall consider both oral testimony and written evidence. Upon receipt of any written statement or evidence provided by any party to the committee, the committee shall promptly provide the other party with a copy of such material. The committee can set its own rules for notice deadlines for disclosure of exhibits and witnesses. Any person offering testimony before the committee shall be subject to questioning by the committee members or either party with specific consent of the committee chairperson. The committee shall reserve the right to exclude redundant evidence as determined by a majority committee vote. The committee has authority to secure the testimony of essential witnesses or other relevant evidence. At the conclusion of a hearing, the committee shall provide an opportunity for either party to submit a written summary of its position.~~

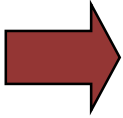
~~4.2.7 The committee shall vote by secret ballot, and the committee chairperson shall vote on all questions. In order for the committee to find a violation of equal opportunity, the grievant must show by the greater weight of the evidence that such a violation did, in fact, occur. If an alleged harasser in a sexual harassment case claims consent as a defense and the person was in a position of power or control over the grievant, the burden of proof on the issue of consent is on the alleged harasser. The vote required for committee action will be a simple majority of total number of votes eligible to be cast. All voting results and any recommendations of the committee shall be promptly made available in writing to all of the parties involved in the case and the University President. The President shall be responsible for determining an appropriate administrative response to the findings, conclusions and recommendations. The decision of the President is final.~~

HISTORY:

New	December 20, 1977
Amended	September 1993
Amended	January 1996
Amended	June 2000
Amended	October 2007
Housekeeping	September 2009
Amended	March 16, 2010
Housekeeping	February 14, 2011
Housekeeping	April 4, 2016

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION: **183 NONRENEWL AND DISMISSAL OF NONBANDED, NONACADEMIC STAFF**

25. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).

- Is this a federal or state mandate? ☐ Yes ☒ No
- Describe change: NDUS Board Policy change effective February, 2016.

26. This policy change was originated by (individual, office or committee/organization):

- Office/Department/Name and the date submitted Human Resources and Payroll/Colette Erickson/March 29, 2016
- Email address of the person who should be contacted with revisions: Colette.erickson@nds.edu
-

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

27. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 183

NONRENEWAL AND DISMISSAL OF NONBANDED, NONACADEMIC STAFF

SOURCE: SBHE Policy Manual, Section 608.2

1. Employees excluded from the broadbanding system who are not members of the academic staff at an institution may be terminated, without cause, pursuant to written notice of termination in accordance with the following schedule:

a) At least three months, if written notice is given during the first year of service;

b) At least six months, if written notice is given during the second year of service or thereafter.

a- As used in this section 1, "service" means employment at the same institution or agency.

2. An employee may be dismissed for just cause. Employees excluded from the broadbanding system who are not members of the academic staff at an institution may be dismissed ~~for just cause or~~ based upon financial exigency as determined by the Board, loss of appropriations, loss of institutional or program enrollment, consolidation of organizational units or program areas or elimination of courses, in which cases the notice requirements of the preceding section shall not apply. If a dismissal ~~other than for just cause~~ is implemented pursuant to this subsection, no less than 90 days notice shall be given the employee.
3. Just cause means just cause for dismissal of staff employees as defined in the North Dakota University System Human Resource Policy Manual. (See NDSU 220.2) Notice of intent to dismiss for cause, stating the reasons for the proposed action, shall be given by a department head or other designated official unless the employee is a vice president or other officer who reports directly to the institution's chief executive, in which case notice shall be given by the chief executive. The notice shall be given at least five calendar days prior to the date of dismissal and the employee has the right, within that time, to respond in writing and request a pre-termination review. Following notice of intent to dismiss and, if requested by the employee, the pre-termination review, the department head or other designated individual, if the notice of intent to dismiss was not given by the chief executive, shall forward a recommendation to the institution's chief executive. The chief executive shall make a final decision and give written notice of that decision.

4. An employee who is dismissed for just cause pursuant to this policy may, within 20 days of dismissal, appeal the decision by filing a notice of appeal, accompanied by a specification of the reasons or grounds upon which the appeal is based, with the institution's chief executive. The chief executive shall appoint a hearing officer to conduct an evidentiary hearing and submit recommended findings, conclusions and a recommended decision ~~order to the chief executive~~. The hearing officer shall conduct the hearing according to appeal procedures governing hearings conducted by a staff personnel board that are set forth in Section 27 of the North Dakota University System Human Resource Policy Manual (*Policy 231 of the NDSU Policy Manual*). The chief executive shall make a final decision and provide written notice of that decision to the hearing officer and the employee within 20 calendar days of receiving the hearing officer's recommendation.
5. Except for positions explicitly exempt as stated in this section 5 or 6, this policy applies to all employees excluded from the broadbanding system who are not members of the academic staff and, with respect to their positions as administrators or other non-academic positions, to employees with appointments to the academic staff. This policy applies to coaches unless the employing institution has adopted a different policy governing coaches and that policy is stated or adopted by reference in a coach's employment contract, in which case the institution's policy applies. This policy does not apply to faculty; employees with academic appointments are governed by SBHE Policy Sections 605.1, 605.2, 605.3 and 605.4. Staff employees at the institutions are governed by the North Dakota University System Human Resource Policy Manual.
6. *Dismissal actions of **regular staff employees** are governed by the NDSU Policies 220 and 223.*
7. *Dismissal actions of **temporary staff employees** may occur at any time with or without cause (NDUS Human Resource Policy Manual, Section 2).*
8. *Dismissal or non-renewal actions for **faculty** are governed by NDSU Policy 350.1-350.4 and 352.*
9. This policy does not apply to the Chancellor and institution presidents. Subsections 1 and 2 do not apply to student residence hall assistants, work-study students and other students employed on a part-time basis for a limited term. The terms and conditions of employment for student residence hall assistants shall be stated in a written contract.
- ~~10. Notwithstanding section 1, employees excluded from the broadbanding system who are not members of the academic staff at an institution and whose first day of service preceded September 26, 2012, may be terminated, without cause, pursuant to written notice of termination in accordance with the following schedule:~~
 - ~~a. At least three months, if written notice is given during the first year of service;~~

- ~~b. At least six months, if written notice is given during the second year of service;~~
- ~~c. At least twelve months, if written notice is given thereafter.~~

-

HISTORY:

New	June 1994
Amended	May 1996
Amended	February 1998
Amended	July 1999
Amended	December 1999
Amended	January 2000
Amended	January 3, 2013
Housekeeping	August 26, 2013
Amended	September 18, 2013
Amended	December 4, 2015

Current Bylaws

Article IV: Faculty Senate Standing Committees

Section 1. Academic Affairs

1. Voting members shall consist of one faculty member, with the rank of full or associate professor, from each of the representation units, a representative of the Dean of Graduate and Interdisciplinary Studies, and two students.
2. Non-voting members shall consist of the Provost (or designee) and the University Registrar.
3. Committee responsibilities include:
 1. Coordinating and recommending actions on proposals for curriculum and course changes that have been received from the colleges
 2. Recommending policies for the evaluation of transfer credit
 3. Recommending policies for graduation
 4. Recommending candidates for graduation
 5. Recommending the scheduling of policies for the efficient utilization of classrooms and laboratories

Section 10. General Education

1. Voting membership shall consist of one tenured faculty member from each representation unit, a representative from the Assessment Committee, and two students selected by the Student Government.
2. Non-voting members shall consist one representative from each of the following: the NDSU Library, Registration and Records, the professional advisers (at least 50% of load is advising), and the Provost (or designee). There is no term limit for non-voting members.
3. Committee responsibilities include:
 1. Ensuring that existing courses and experiences meet general education requirements.
 2. Developing criteria and procedures for submitting, evaluating, and approving courses and experiences that meet general education requirements of NDSU and the Higher Learning Commission of the North Central Association of Colleges and Schools.
 3. Developing criteria and procedures for submitting, evaluating, and approving courses or experiences that meet the general education requirements for integration into students' curricula.
 4. Coordinating and recommending actions to the Faculty Senate on proposals for approving general education courses.
 5. Providing periodic assessment of students' attainment of intended student outcomes in general education.
 6. Studying, coordinating, and recommending to the Faculty Senate policies and procedures for continuing improvement in general education.
 7. Selecting two representatives and one alternate for the North Dakota General Education Council.

University Curriculum Committee (UCC)

1. Voting members shall consist of one tenured faculty member from each of the representation units, a tenured faculty representative appointed by the Dean of the College of Graduate and Interdisciplinary Studies, and two students – one graduate and one undergraduate - appointed by the Student Government.

The Provost, Registrar, and Dean of Libraries shall each appoint one non-voting representative.

- a. Terms shall be four years. Voting members shall not serve consecutive terms. Terms shall be staggered so that no more than one-third of the members are new.
 - b. One faculty member will be elected as chair. Neither the Provost's, Registrar's, nor Dean of Libraries' representative shall serve as chair.
 - c. The chair shall have served at least one year on the committee.
 - d. Each representation unit shall also select an alternate faculty member to serve in case of recusal or absence.
-
2. Committee responsibilities are:
 - a. Developing criteria and procedures for submitting, evaluating, and approving courses, experiences, and program proposals for curriculum and course changes.¹
 - b. Coordinating and recommending actions on proposals for curriculum and course changes that have been received from the colleges.
 - c. Overseeing the general education program, including:
 - a. Validating/revalidating courses and experiences to ensure that general education outcomes are met.
 - b. Coordinating periodic assessment of students' attainment of intended student outcomes in general education.
 - d. Requesting the formation of ad hoc Faculty Senate committees to recommend policies for the evaluation of transfer credit, policies for graduation, and make other recommendations as needed², and
 - e. Performing other appropriate duties as assigned by the Faculty Senate.

¹ Designates an overlapping function.

² Designates a new authority.

Purpose of change

1. To create a committee that focuses on NDSU's curriculum as a whole.
 - A. Enables the committee to have a more comprehensive understanding of the curriculum to create a consistent, coherent, practical curriculum for students, faculty, and staff.
2. To redirect the focus to the committee's Faculty's expertise rather than doing administrative work. They would become an executive committee.
3. Create a more efficient workflow.

Phases

Phase 1: August-September 2016 - Colleges elect their representatives to the UCC, the other members are appointed.

Phase 2: Fall 2016 - UCC members attend AA and GE meetings to orient themselves to the relevant work. During this time, they should be thinking about what portions of the work can be:

- A. Administrative work not performed by faculty members – The Provost's office is providing a great deal of administrative support through Vice Provost for Academic Affairs, her administrative assistant, and other ex-officios.
 1. Before the committee sees a petition or application, the ex-officios can determine if the documents are adequately prepared. If not, they can be returned to the originator.
 2. Courseleaf or Sharepoint to make workflow for efficient and transparent,

OR

- B. Reduced through process change –
 1. Petitions take up an enormous amount of GE's time. RaNelle Ingalls has stated that petitions out of UNIV 189 are often unnecessary. They could be eliminated by either educating advisors that a student with 24 hours credits coming into NDSU does not need UNIV 189 to graduate, or a note could be put on the petition form page stating that fact so that students do not submit the form in the first place.
 1. Based on existing course evaluations we do for transfer credits from other universities, other petitions could be sent to the relevant programs for them to evaluate. Since those programs are experts in their own area, then they can do this most efficiently.
 2. The recommendation would be returned to UCC for their executive decision to accept or decline.

3. A timely deadline for a departmental or other decision should be included with the request to evaluate the petition.
2. Creating or updating templates for fill in blanks course proposals.
 1. Templates for undergraduate only, graduate only, and undergraduate/graduate classes exist. Those areas, such as instructor, office number and hours, academic honesty, accommodation, etc. will already be filled out. (<https://www.ndsu.edu/facultysenate/acadaffairs/syllabi/>, and has been available for many years)
 2. Only the areas relevant for evaluation of the proposal shall be live for the proposer to fill in.
 3. This work is already partially completed?
3. Training for the colleges' curriculum committees
 1. If the curriculum committees know what UCC wants, then it is easier to do that.
4. Moving evaluations or work to the areas best able to process it.
 1. A poorly filled out proposal should be returned to the originator with instructions how to change it.
5. Using Courseleaf or Sharepoint to monitor workflow and move materials directly to where they need to go.

Identify and use objective measures to evaluate work load and other information the Faculty Senate will use in Phase 3.

Phase 3: Report to Faculty Senate about changes to focus of the committee, processes, and all other relevant information the Faculty Senate will use in making a determination to proceed or “roll back” the committee.

Phase 4: Spring 2017 – UCC goes online

- A. The Vice Provost for Academic Affairs will provide continuity and direction for the committee.
- B. UCC will request an ad hoc General Education Recertification Committee or devise another efficient process to focus on recertifying all General Education courses to the New Model's outcomes. This process shall be considered by the Faculty Senate
 - a. Consider requiring that all faculty members teaching general education courses explain in their course what general education is, why it is required of students, why the particular course is a component of general education, and what outcome it fulfills and how. Periodically during the semester, each general education instructor should tie in what she or he is doing to the what, why, why, what above.
 - b. Probably good enough to send an email note out to general education instructors reminding them to do this? No need for additional monitoring? How would this be done?
 - c. Use statistical sampling to evaluate proposals-revisions to alleviate workload, unless there is a system with far better outcomes to use. (Find out how businesses do this to review their projects.)

- C. Evaluate UCC's process. If changes can be made to fulfill the reduced duties more efficiently without sacrificing quality, and the committee can do it for itself, then it would make these changes.
- D. AA and GE representatives act as consultants to UCC.

Phase 5: May 2017 – Report to Faculty Senate

- A. If there are issues the Faculty Senate needs to address, such as adding additional members to the committee, then that shall be brought to the Faculty Senate for discussion.
- B. **Only objective measures will be considered in the evaluation process.**
- C. Faculty Senate would take whatever action it deems appropriate.

Phase 5: May 2018 – Report to Faculty Senate

- A. If there are issues the Faculty Senate needs to address, such as adding additional members to the committee, then that shall be brought to the Faculty Senate for discussion.
- B. **Only objective measures will be considered in the evaluation process.**
- C. Faculty Senate would take whatever action it deems appropriate.

Responses to concerns raised

- Both GE and AA have significant workloads, both committees meeting more than once per month presently and moving business along at a relatively quick pace. To merge them may overburden the members of the super committee.
 - **Response:** The committee workload is being reduced, as can be seen by the reduced duties in the Bylaws, as well as the process changes, etc.
 - **Response:** Instead of overloading faculty with administrative work, they will be able to more freely use their expertise in their executive roles.
 - **Response:** Use statistical sampling instead of examining each case, if that proves a far more efficient system with adequate outcomes. The idea is to retain processes that cannot be changed, but to change processes that are not resulting in sufficient efficiency to achieve desirable outcomes of freeing committee members to focus on the vision of a unified curriculum for the university.
- Reading documents for Academic Affairs issues and GE issues requires considering different criteria. Therefore, we think either the review will not be effective in some area, or the time for reading will increase for those individuals having to develop expertise in both areas.
 - **Response:** It is better for the university to have an overall curriculum that is coherent, cohesive, and practical through one committee having one vision.
 - **Response:** The committee researched this issue in great depth. It found that our peer institutions do not separate these two functions into different committees, with the exception of one university. So the standard is a UCC rather than separate AA and GE committees. (One committee member raised concerns about the strength of this conclusion based on its records of the committee's research.)
- The GE committee has, in the last year or two, worked to really streamline some processes so that it can take more of a leadership role regarding general education on campus and can do some things that they have not been able to get to in the past, such as revamping the GE web presence

and having some oversight over assessment of GE (even if that assessment still happens in the colleges and departments, having some campus wide coordination will be important).

- **Response:** This activity can be facilitated far more with a reduction in administrative workload and refocus on faculty expertise.
- Without either a GE committee or a GE Director, and with the intense workload represented by the merger of the committees, we fear GE will suffer from inattention.
 - **Response:** General Education will be better integrated into a student's overall curriculum with one group focusing on the issue. The idea would be to increase the effectiveness and values of both major(s), minor(s), and general education.
- The merger may be trying to solve problems that are no longer. AA has made its systems for syllabus review better; GE has created some policies and guidelines to make its processes more efficient. Nonetheless, there is still plenty of work for both committees, and the idea that the two committees are primarily redundant seems flawed.
 - **Response:** There are still significant problems with the processes that cause frustrations for both committee members and those faculty working with them. The length of time it takes to get a course approved for AA has been greatly reduced by Courseleaf. If a General Education step is added, then one set of faculty members can evaluate both AA and GE concerns simultaneously to determine if the course coherently, cohesively, and practically fits NDSU's curriculum.

Activities of the NDSU Faculty Senate Academic Affairs and General Education Committees for Academic Years 14/15 and 15/16 as of 3-7-16

The information summarized below is based on Faculty Senate and committee meeting minutes.

Academic Affairs Committee

Action	Academic Year 14/15	Academic Year 14/15
Policy Discussions	<p>Sep – IQAOC questions; R&R query to check contact hours vs credits</p> <p>Oct – course approvals obtained one semester ahead of schedule?; academic freedom statement; guidelines for courses descriptions for smoother transfer evaluation</p> <p>Nov – AP cr</p> <p>Dec – CourseLeaf</p> <p>Mar – cr matrix and HLC compliance guidelines; course description for individual study</p> <p>Apr – CIM software demo; input on CIM fields</p> <p>May – Project lead the way</p>	<p>Aug – CIM update; colleges asked to discuss major clusters for advisement; PERC</p> <p>Sep – CIM update</p> <p>Oct – keep 400/600 together for review even though CIM lists separately; attendance policy 333 discussion re health center new policy</p> <p>Dec – uniform course number for undergrad teaching; pol 333</p> <p>Jan - uniform course number for undergrad teaching</p> <p>Feb – final exam scheduling; IQAOC update and feedback</p>
New Courses	<p>Oct – 7</p> <p>Nov – 8</p> <p>Dec – 23</p> <p>Jan – 2</p> <p>Mar – 10</p> <p>Apr – 26</p> <p>May – 27 TOTAL = 103</p>	<p>Oct – 4</p> <p>Nov – 13</p> <p>Dec – 7</p> <p>Jan – 1</p> <p>Feb – 6 TOTAL = 31</p>
Course Deletion	May - 3	
Course Inactivation's	<p>Oct- 8</p> <p>Nov – 9</p>	<p>Oct – 17</p> <p>Nov -27</p>

	Dec – 2 Mar – 4 Apr – 9 May 15 TOTAL = 47	Dec – 6 Jan – 2 TOTAL = 52
Course Reactivation	Jan – 1 Apr – 1 May – 1 TOTAL = 3	
Course Changes	Oct – 26 Nov – 9 Dec – 13 Mar – 10 Apr – 20 May – 10 TOTAL = 88	Oct – 11 Nov – 8 Dec – 8 Jan – 1 Feb – 3 TOTAL = 31
Change in pre/co/req/descrip	Oct – 2 Nov - 4 Dec – 4 Jan – 2 Mar – 27 Apr 14 TOTAL = 56 May - 3	Oct – 13 Nov – 8 Dec – 18 Jan – 10 Feb – 10 TOTAL = 59
New special topics	Oct – 1 Nov – 2 Dec – 4 Apr – 2 May – 2 TOTAL = 11	Oct – 1 Nov – 3 Dec – 3 TOTAL = 7
New prefix	May - 2	

New Program/option	Oct – 1 Dec – 2 Apr – 2 May – 4 TOTAL = 9	
Accelerated/combined degree	Mar - 1	
Program changes	Mar - 1	Feb - 6
Program Inactivation	Dec – 1 Mar – 2 TOTAL = 3	
Program Termination	Mar - 2	

General Education Committee

Action	Academic Year 14/15	Academic Year 14/15
Priorities for Fall	<ul style="list-style-type: none"> • continued petitions review • pilot assessment • alignment with CULE work 	
Priorities for Spring	<ul style="list-style-type: none"> • continued petitions review • streamlining policy and process to make room for leadership work • pilot assessment/assessment planning • alignment with CULE work 	
Petitions	Sep – 12 Oct – 7 Nov – 5 Dec – 4 Jan - 4 Feb – 3 Mar – 1 Apr – 7 TOTAL = 43	Sep – 9 Oct – 4 Nov – 1 Dec – 3 Jan – 2 Feb – 6 TOTAL = 25

Request to waive	one	
New courses	1 considered – PHRM 101	ENGL 226, RELS History of religion courses
Bylaws Change	1 - changes to membership	
Establishing blanket exception for study abroad	Approved	
Upper division substitution request	1 for computer engineering	1 in fall for BIOL course
Military basic training waiver for wellness	Approved, but with no course credit	
Upper division languages	Approved to meet Humanities/Fine Arts cr	
Course equivalency discussions	One in spring	
Provided information to the IQOAC	Addressed questions and decide to meet more frequently; i.e. 2 times/mo vs 1 time/mo	Updated and raised concerns
Number of courses removed from Gen Ed	1 – HDF5 468	
ENGR 291 for 189	approved	
Handbook revision discussions	several	
Discussion of QUEST, how to approve new courses, make exceptions, review existing course, and how to analyze transfer cr	All spring	All fall
Senate charge of Crosswalk		All spring so far
Capstone assessment discussion		Discussion late fall through early spring
Remaining potential agenda items		<ul style="list-style-type: none"> • Discussion regarding mapping new outcomes onto the SERU • Course re-evaluation cycle: timing? Documents needed? • Build faculty learning communities (FLCs) around the outcomes,

		<p>communicate with the FLCs re the outcomes and teaching for them</p> <ul style="list-style-type: none">• Program review overall (with external evaluators, as UND has done?)• Changing the language from GE to something more like core or essential or foundations, to overcome the “general” bias• How do we: 1- think of GE as a program or connected curriculum 2- communicate more regularly with faculty about GE, not just to the Senate• Over the long run, develop some regular cycle of program assessment (direct + indirect assessment), including the question of whether we should build some requirements for Capstones that might be considered at Senate
--	--	--

Proposed change to Faculty Senate Budget Committee

Whilst gathering information about the committees, I realized that every member of the Faculty Senate Budget Committee's term will end in May 2017. Hence, there will be no continuity at all, which is a disaster for a committee that is integral to the FS and faculty governance.

My proposal is to change the bylaws for the committee to introduce staggered terms:

Budget

1. Voting members shall consist of one faculty from each representation unit, and a representative of the Dean of Graduate and Interdisciplinary Studies.
 1. *Each term is three years, and a member may serve no more than two consecutive terms.*
 2. *Terms shall be staggered so that new members have at least one year to become familiar with the committee and its work. Unless by necessity, no more than one third of the committee may be in their first year of service to the committee.*
 3. To maintain continuity within ongoing budgetary discussions, the outgoing Chair of the Committee will continue to serve for at least the year following their term. If the outgoing Chair is no longer the representative of an academic unit, they will serve in a non-voting, advisory capacity. If the outgoing chair is reappointed/re-elected to represent their academic unit, then they will return to normal Committee membership.
2. Non-voting members shall consist of the Provost (or designee) and Vice President for Finance (or designee).

Table mapping NDSU's Existing GE Categories to the New Undergraduate

Learning Outcomes (created by the GE Committee in response to the December 14, 2015 charge from the Faculty Senate)

Existing NDSU Categories	Core New Undergraduate Learning Outcome for Each Category	Possible Secondary New Undergraduate Learning Outcomes for Each Category
First Year Experience (F)	Personal & Social Responsibility	
Communication (C)	Communication	Critical Thinking, Diversity and Global Perspectives, Technology, Personal & Social Responsibility
Quantitative Reasoning (R)	Critical Thinking, Creative Thinking, and Problem Solving	Diversity and Global Perspectives, Communication, Technology, Personal & Social Responsibility
Science & Technology (S)	Natural and Physical Sciences or Technology	Critical Thinking, Diversity and Global Perspectives, Communication, Personal & Social Responsibility
Humanities & Fine Arts (A)	Human Societies	Critical Thinking, Diversity and Global Perspectives, Communication, Technology, Personal & Social Responsibility
Social & Behavioral Sciences (B)	Human Societies	Critical Thinking, Diversity and Global Perspectives, Communication, Technology, Personal & Social Responsibility
Social & Behavioral Sciences – Wellness (W)	Personal and Social Responsibility	Critical Thinking, Diversity and Global Perspectives, Technology, Communication, Personal & Social Responsibility
Cultural Diversity (D) (embedded in other category)	Human Societies	Diversity and Global Perspectives
Global Perspectives (G) (embedded in other category)		
General Education Categories that do not follow standard review procedures		
Upper Division Writing (approved by the GE Committee after review from the English Department Writing in the Disciplines Committee)	Communication	Critical Thinking, Diversity and Global Perspectives, Technology, Personal & Social Responsibility
Capstone in major (not presently reviewed by the GE Committee)	Critical Thinking, Creative Thinking, and Problem Solving	Communication, Diversity and Global Perspectives, Technology, Personal & Social Responsibility

Revised 03.24.2016

For Faculty Senate:

Approved General Education Recommendations

For Faculty Senate Meeting on (month/year): April 18

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
ENGL 229	Introduction to Creative Writing	Humanities and Fine Arts	Primary - Human Societies, Secondary - Communication

Courses Withdrawn from General Education List of Approved Courses

Course No.	Course Title	Categories	Dept or GE Request

Continued Approval (5-Year Renewal) for General Education with No Changes in Outcomes

Course No.	Course Title	Categories	Outcomes

Continued Approval (5-Year Renewal) for General Education with Changes in Outcomes

Course No.	Course Title	Categories	Previous Outcomes	Recommended Outcomes

Returned to Department/Instructor for Revision/Further Information/Clarification		
Course No.	Course Title	Reason for Return

**Associate Professor
Department of Chemistry and Biochemistry
North Dakota State University**

**NDSU Dept. 2710, P.O. Box 6050
Fargo, ND 58108-6050
(701) 231-7945
stuart.haring@ndsu.edu**

Academic Background

Ph.D. Major: Biology Emphasis: Genetics/Molecular and Cellular Biology	1997-2004	University of Iowa (Iowa City, IA) Department: Biological Sciences Advisor: Dr. Robert E. Malone, Ph.D. Thesis: "Meiotic recombination initiation in <i>Saccharomyces cerevisiae</i> ."
B.Sc. Major: Biology Minor: Chemistry	1993-1997	University of North Dakota (Grand Forks, ND)

Education and Employment

Associate Professor	2015-Present	North Dakota State University (Fargo, ND) Department: Chemistry and Biochemistry
Assistant Professor (Tenure-Track)	2008-2015	North Dakota State University (Fargo, ND) Department: Chemistry and Biochemistry
Faculty	2009-Present	North Dakota State University (Fargo, ND) Department: Interdisciplinary Program in Cellular and Molecular Biology
Postdoctoral Fellow Emphasis: Biochemistry and Molecular Biology	2004-2008	University of Iowa (Iowa City, IA) Department: Biochemistry Advisor: Dr. Marc S. Wold, Ph.D.
Graduate Research/ Teaching Assistant	1997-2004	University of Iowa (Iowa City, IA) Department: Biological Sciences Advisor: Dr. Robert E. Malone, Ph.D.

Teaching, Mentoring, and Advising***Teaching Experience***

Assistant/Associate Professor	2008-Present	North Dakota State University (Fargo, ND) Department: Chemistry and Biochemistry Courses: BIOC 474/674: Methods of Recombinant DNA Technology BIOC 487: Molecular Biology of Gene Expression BIOC 719: Molecular Biology of Gene Expression and Regulation BIOC 720: Scientific Integrity CHEM 380: Junior Seminar CHEM 491: Senior Seminar
--	--------------	--

Instructor	2007	University of Iowa (Iowa City, IA) Department: Biochemistry Course: Summer CERT Minicourse
Visiting Assistant Professor	2004	University of Iowa (Iowa City, IA) Department: Biological Sciences Course: BIOL 002:128 Fundamental Genetics
Graduate Teaching Assistant	1999-2004	University of Iowa (Iowa City, IA) Department: Biological Sciences Course: BIOL 002:128 Fundamental Genetics
Guest Lecturer	2001-2003	University of Iowa (Iowa City, IA) Department: Biological Sciences Course: BIOL 002:128 Fundamental Genetics Number of Lectures: 5

Teaching Evaluations

Term^a	Prefix^b	Course^b	Section	Credits	# Enrolled	% Effort	Course Rating	Instructor Rating
161	BIOC	487	5743	3	11	100%	4.600	4.600
					Mean:	Department		
						College		
						University		
153	BIOC	674	5792	3	5	100%	4.500	4.333
		474	5790	3	14	100%	4.059	4.118
		674	8987	3	6	100%	4.600	4.200
		474	8986	3	3	100%	4.333	4.667
					Mean:	Department	4.150	4.198
						College	4.074	4.223
						University	4.154	4.264
151	BIOC	487	4639	3	9	100%	4.714	4.857
					Mean:	Department	3.737	3.755
						College	3.971	4.099
						University	4.115	4.230
143	BIOC	674	6983	3	4	100%	5.000	5.000
	BIOC	474	6981	3	14	100%	4.400	4.300
	BIOC	674	8314	3	4	100%	4.667	5.000
	BIOC	474	8313	3	19	100%	4.500	4.000
					Mean:	Department	3.849	3.896

Term ^a	Prefix ^b	Course ^b	Section	Credits	# Enrolled	% Effort	Course Rating	Instructor Rating
141						College	3.967	4.141
						University	4.123	4.236
	BIOC	487	5154	3	18	100%	4.214	4.214
	BIOC	720	4653	1	NA	6%	NA	NA
	Mean:					Department	3.928	3.995
						College	3.931	4.080
						University	4.089	4.219
	BIOC	674	6909	3	3	100%	4.667	4.333
	BIOC	474	6908	3	13	100%	4.385	4.077
133	BIOC	674	5520	3	4	100%	4.750	4.750
	BIOC	474	5518	3	20	100%	4.278	4.222
	Mean:					Department	3.855	3.871
						College	3.965	4.150
						University	4.118	4.243
	BIOC	487	04651	3	8	100%	4.429	4.429
	BIOC	720	03908	1	15	6%	NA	NA
	Mean:					Department	3.481	3.302
						College	3.977	4.117
123						University	4.096	4.228
	CHEM	491	06269	2	25	100%	4.600	4.800
	CHEM	380	06265	1	16	100%	4.636	4.545
	BIOC	674	07604	3	3	100%	3.667	4.333
	BIOC	474	07603	3	12	100%	4.125	4.250
	BIOC	674	06133	3	4	100%	5.000	5.000
	BIOC	474	06131	3	17	100%	4.091	4.273
	Mean:					Department	4.345	4.356
						College	3.976	4.163
						University	4.117	4.241
121	BIOC	720	04035	1	15	6%	NA	NA
	BIOC	487	17011	3	14	100%	4.583	4.750
	Mean:					Department	3.651	3.824
						College	3.929	4.073

Term ^a	Prefix ^b	Course ^b	Section	Credits	# Enrolled	% Effort	Course Rating	Instructor Rating
						University	4.065	4.189
113	CHEM	491	08903	2	13	100%	NA	NA
	CHEM	380	08899	1	24	100%	NA	NA
	BIOC	674	10397	3	4	100%	4.500	4.500
	BIOC	474	10396	3	20	100%	4.500	4.500
	BIOC	674	08761	3	4	100%	4.385	4.429
	BIOC	474	08759	3	18	100%	4.375	4.375
						Mean:	Department	3.731
							College	3.986
							University	4.098
111	BIOC	720	08689	1	15	6%	NA	NA
	BIOC	719	07565	3	6	50%	4.667	4.500
	BIOC	487	30619	3	8	50%	4.625	4.750
						Mean:	Department	3.948
							College	3.953
							University	4.075
103	BIOC	487	12688	3	13	100%	4.615	4.615
	BIOC	674	08370	3	5	100%	4.250	4.500
	BIOC	474	08366	3	15	100%	4.533	4.467
						Mean:	Department	3.767
							College	3.937
							University	4.105
101	BIOC	720	32278	1	15	6%	NA	NA
093	BIOC	674	05602	3	4	100%	4.500	5.000
	BIOC	474	05601	3	18	100%	4.167	3.944
	BIOC	674	03670	3	3	100%	4.667	4.667
	BIOC	474	03668	3	12	100%	3.667	3.500
						Mean:	Department	3.880
							College	3.920
							University	4.050

^a 093 = spring 2009; 101 = fall 2009; 103 = spring 2010; 111 = fall 2010; 113 = spring 2011; 121 = fall 2011; 123 = spring 2012

^b BIOC 474/674 = Methods of Recombinant DNA Technology; BIOC 487 = Molecular Biology of Gene Expression; BIOC 720 = Scientific Integrity; BIOC 719 = Molecular Biology of Gene Expression and Regulation; CHEM 380: Junior Seminar; CHEM 491: Senior Seminar

Pending = current semester and no ratings available yet; NA = not available

Mentoring Experience (Undergraduate denoted by *; High School denoted by #)

Graduated

Megan F. Palmer	2008-2011	Institution: North Dakota State University (Fargo, ND) Degree: Biochemistry and Molecular Biology – M.S.
Gunjan Piya	2010-2013	Institution: North Dakota State University (Fargo, ND) Degree: Biochemistry and Molecular Biology – M.S.
Padmaja L. Ghospurkar	2008-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Candidate

Current

Timothy M. Wilson	2012-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program
Barbara Senger*	2013-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – B.Sc. Candidate
Francis Landman*	2014-Present	Institution: North Dakota State University (Fargo, ND) Program: Biotechnology – B.Sc. Candidate
Nolan M. Miles*	2014-Present	Institution: North Dakota State University (Fargo, ND) Program: Zoology – B.Sc. Candidate
Brian Samuelson*	2014-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – B.Sc. Candidate
Jenna Saunders	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Zoology – B.Sc. Candidate
Jessica Kesson	2015-Present	Institution: North Dakota State University (Fargo, ND) Degree: Biotechnology – B.Sc.
Courtney Karnopp	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Biology – B.Sc. Candidate
Angela M. Adsero	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Cellular and Molecular Biology – Ph.D. Program
Trevor A. Baumgartner	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program

Hermella Alemneh	2015-Present	Institution: Minnesota State University-Moorhead (Moorhead, MN) Program: Biology – B.Sc.
Allison Christensen	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Zoology – B.Sc. Candidate
Anna Reinholz	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Zoology – B.Sc. Candidate

Previous

Erica N. Mueller	2012-2015	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – M.S. Program
Nana K. Ingram*	2014	Institution: Illinois Wesleyan (Bloomington, IL) Program: Research Experience for Undergraduates (REU)
Kelly Tran [#]	2014	Institution: West Fargo High School (West Fargo, ND) Program: Governor's School
Ryan Lenz*	2013-2014	Institution: North Dakota State University (Fargo, ND) Program: Biotechnology – B.Sc.
Jason Balster*	2012-2013	Institution: North Dakota State University (Fargo, ND) Program: Zoology – B.Sc. Candidate
Amber L. Severson*	2011-2013	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – B.Sc.
Timothy M. Wilson*	2011-2012	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – B.Sc.
Anna Herauf*	2013	Institution: Augsburg College (Minneapolis, MN) Program: Research Experience for Undergraduates (REU)
Jenna Steffes [#]	2013	Institution: Lisbon High School (Lisbon, ND) Program: Governor's School
Alexis Larson*	2012-2013	Institution: North Dakota State University (Fargo, ND) Program: Microbiology – B.Sc. Candidate
Heather K. Haas*	2012	Institution: Dickinson State University (Dickinson, ND) Program: Research Experience for Undergraduates (REU)
Emma Twedt [#]	2012	Institution: Kindred High School (Kindred, ND) Program: Governor's School
Kaitlin M. Dailey*	2011-2012	Institution: Northpark University (Chicago, IL) Program: Center of Biomedical Research Excellence (COBRE) – Research Experience for Undergraduates (REU)
Barbara Senger [#]	2011	Institution: Mandan High School (Mandan, ND) Program: Governor's School
Kit K. Wong*	2009-2011	Institution: North Dakota State University (Fargo, ND) Program: Ronald E. McNair Scholars Program

Jeffrey C. Wallgren*	2010	Institution: North Dakota State University (Fargo, ND) Program: Biotechnology – B.Sc.
Christina M. Allen*	2010	Institution: University of Mary (Bismarck, ND) Program: Center of Biomedical Research Excellence (COBRE) – Research Experience for Undergraduates (REU)
Emma E. Christy*	2009-2010	Institution: Concordia College (Moorhead, MN) Program: Center of Biomedical Research Excellence (COBRE) – Research Experience for Undergraduates (REU)
Derek M. Miller*	2009-2010	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – B.Sc.
Alisa B. Wobbema*	2009	Institution: University of Minnesota (Minneapolis, MN) Program: Summer Research Assistant
Aunika Swenson [#]	2009	Institution: Dickinson High School (Dickinson, ND) Program: Governor's School
Ryan Unruh*	2009	Institution: North Dakota State University (Fargo, ND) Program: Biotechnology – B.Sc.
Scott M. Ennis*	2009	Institution: North Dakota State University (Fargo, ND) Program: Biotechnology – B.Sc.
Angela M. Kephart*	2007	Institution: Clarke College (Dubuque, IA) Program: University of Iowa Summer Biochemistry Research Program

Research Activities***Researcher ID Numbers***

Web of Science/Knowledge Researcher ID#	E-7481-2012
ORCID #	0000-0002-6169-3547

Peer-Reviewed Publications

- Piya, G., Mueller, E. N., Haas, H. K., Ghospurkar, P. L., Wilson, T. M., Jensen, J. L., Colbert, C. L., and **Haring, S. J.** (2015) "Characterization of the interaction between Rfa1 and Rad24 in *Saccharomyces cerevisiae*." *PLoS One* **10(2)**: e0116512. PMID: 25719602.
- Ghospurkar, P. L., Wilson, T. M., Severson, A. L., Klein, S. J., Khaku, S. K., Walther, A. P., and **Haring, S. J.** (2015) "Distinct roles for the Rfa2 N-terminus in the DNA damage response and adaptation in *Saccharomyces cerevisiae*." *Genetics* **199(3)**: 711-727. PMID: 25595672.
- Ghospurkar, P. L., Wilson, T. M., Liu, S., Oakley, G. G., Herauf, A., Steffes, J., Dailey, K. M., Mueller, E. N., and **Haring, S. J.** (2015) "Phosphorylation and cellular function of the human Rpa2 N-terminus in the yeast *Saccharomyces cerevisiae*." *Exp Cell Res* **331(1)**: 183-199. PMID: 25499885.

- Kemp, M. G., Mason, A. C., Carreira, A., Reardon, J. T., **Haring, S. J.**, Borgstahl, G. E., Kowalczykowski, S. C., Sancar, A., Wold, M. S. (2010) "An alternative form of Replication Protein A expressed in normal human tissues supports DNA repair." *J Biol Chem* **285**(7): 4788-4797. PMID: 19996105.
- Haring, S. J.**, Humphreys, T. D., and Wold, M. S. (2010) "A naturally-occurring human RPA subunit homolog does not support DNA replication or cell cycle progression." *Nucleic Acids Res.* **38**(3): 846-858. PMID: 19942684.
- Koehn, D. R., **Haring, S. J.**, Williams, J. M., and Malone, R. E. (2009) "Targeting components of a recombination initiation complex to unnatural sites for recombination." *Genetics* **182**(2): 447-458. PMID: 19332879.
- Mason, A. C., **Haring, S. J.**, Pryor, J. M., Staloch, C. A., Gan, T. F., and Wold, M. S. (2009) "An alternative form of RPA prevents viral replication *in vitro*." *J Biol Chem* **284**(8): 5324-5331. PMID: 19116208.
- Haring, S. J.**, Binz, S. K., Mason, A. D., and Wold, M. S. (2008) "Cellular functions of human RPA1: Multiple roles of domains in replication, repair, and checkpoints." *J Biol Chem* **283**(27): 19095-19111. PMID: 18469000.
- Grudic, A., Jul-Larsen, Å, **Haring, S. J.**, Wold, M. S., Lønning, P. E., Bjerkvig, R., Bøe, S. O. (2007) "Replication Protein A is required for telomere capping in cells that use alternative lengthening of telomeres." *Nucleic Acids Res* **35**(21): 7267-7278. PMID: 17959650.
- Malone, R. E., **Haring, S. J.**, Pansegrau, M. L., Foreman, K. E., Smith, S. M., Carpp, L., Houdek, D. R., Shah, B., and Lee, K. E. (2004) "The signal from the initiation of meiotic recombination to the first division of meiosis." *Eukaryot Cell* **3**(3): 598-609. PMID: 15189982.
- Haring, S. J.**, Lautner, L. J., Comeron, J. M., and Malone R. E. (2004) "A test of the CoHR motif associated with meiotic double-strand breaks in *Saccharomyces cerevisiae*." *EMBO Rep* **5**(1): 41-46. PMID: 14710185.
- Haring, S. J.**, Halley, G. R., Jones, A. J., and Malone, R. E. (2003) "Properties of natural double-strand break sites at a recombination hotspot in *Saccharomyces cerevisiae*." *Genetics* **165**(1): 101-114. PMID: 14504220.

Invited Publications

- Haring, S. J.** and Wold, M. S. (2007) "A common means to an end." *Nat Struct Mol Biol* **14**(3): 176-177. PMID: 17334404.
- Binz, S. K., Dickson, A. M., **Haring, S. J.**, and Wold, M. S. (2006) "Functional assays for Replication Protein A (RPA)." *Methods Enzymol* **409**: 11-38. PMID: 16793393.

Presentations (Presenter is underlined; Undergraduate denoted by *; High School denoted by #)

- Miles, N.M.* and **Haring, S.J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – "Biochemical evidence identifying regions of Rfa2 responsible for checkpoint adaptation in yeast."
- Samuelson, B. D.* and **Haring, S.J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – "Effects of charge on the phosphorylation of the Rfa2 N-terminus in yeast."
- Senger, B. L.* and **Haring, S.J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – "Identification of conserved properties of Rpa2 phosphorylation during the DNA damage response."

- Adsero, A. M. and **Haring, S.J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – “Using CRISPR-Cas9 to rescue meiotic recombination in recombination-defective cells.”
- Baumgartner, T. A. and **Haring, S.J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – “Determining the role of phosphatase activity on Rpa2 phosphorylation and checkpoint arrest.”
- Wilson, T. M., Ghospurkar, P. L., and **Haring, S.J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – “A novel role for RPA phosphorylation in the face of persistent DNA damage.”
- Warns, J., Krueger, S., Qureshi, H., Christensen, A.*, Reinholz, A.*, Baumgartner, T. A., **Haring, S.J.**, and Dhasarathy, A. (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – “A role for the SNAIL transcription factor in alternative splicing during EMT.”
- Christensen, A.*, Reinholz, A.*, Baumgartner, T. A., Warns, J., Krueger, S., Qureshi, H., Dhasarathy, A., and **Haring, S. J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Poster Presentation – “Testing the interaction between SNAIL and SRSF1 using the yeast two-hybrid interaction system.”
- Karnopp, C.* and **Haring, S.J.** (2016) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Poster Presentation – “The role of the Rpa2 N-terminus in gamete formation.”
- Khan, A.#, Senger, B. L.*, and **Haring, S. J.** (2015) Governor’s School: North Dakota State University (Fargo, ND). Poster and Oral Presentation – “Using CRISPR-Cas9 as a tool to rescue defective meiotic recombination.”
- Wilson, T. M. (2015) North Dakota Academy of Science (NDAS) Annual Meeting (Fargo, ND). Oral Presentation – “Phosphorylation of ‘humanized’ and eukaryotic RPA in yeast and its potential role in checkpoint regulation.”
- Wilson, T. M., Ghospurkar, P. L., Senger, B. L.*, and **Haring, S. J.** (2015) American Society for Biochemistry and Molecular Biology (ASBMB) – Experimental Biology Meeting (Boston, MA). Poster Presentation – “*Saccharomyces cerevisiae* as a tool to examine Rpa2 N-terminal phosphorylation across common *Eukarya*.”
- Haring, S. J.** (2015) Southeastern Regional Yeast Meeting (SERYM) (Little Rock, AR). Oral Presentation – “DNA damage-dependent phosphorylation of ‘humanized’ and other eukaryotic RPA in yeast.”
- Ghospurkar, P. L., Wilson, T. M., Dailey, K. M., Mueller, E. N., Liu, S., Oakley, G. G., Klein, S. J.*, Khaku, S. K.*, Walther, A. P., Herauf, A.*, Steffes, J.#, and **Haring, S. J.** (2014) Federation of American Societies for Experimental Biology (FASEB) Science Research Conference: Yeast Chromosome Structure, Replication, and Segregation (Steamboat Springs, CO). Poster Presentation – “Yeast as a model system for examining phosphorylation of higher eukaryotic Replication Protein A.”
- Ghospurkar, P. L., Wilson, T. M., Severson, A. L., Klein, S. J.*, Khaku, S. K.*, Walther, A. P., and **Haring, S. J.** (2014) Genetics Society of America (GSA): Yeast Genetics Meeting (Seattle, WA). Poster Presentation – “Distinct roles for the Rfa2 N-terminus in the DNA damage response and adaptation in *Saccharomyces cerevisiae*.”
- Wilson, T. M., Dailey, K. M., Herauf, A.*, Steffes, J.#, Mueller, E. N., Ghospurkar, P. L., and **Haring, S. J.** (2014) Genetics Society of America (GSA): Yeast Genetics Meeting (Seattle, WA). Poster Presentation – “Interchangeable parts: Determining Rpa2 N-terminal and loop 3-4 function through the use of human/yeast Rpa2 hybrid proteins.”

- Ghospurkar, P. L. and **Haring, S. J.** (2014) North Dakota State University (NDSU) Center for Protease Research (CPR) Frontiers in Biomedical Research Symposium (Fargo, ND). Poster Presentation – “The MCM complex interacts with Rfa1 through Mcm5, an interaction dependent on the Rfa2 phosphorylation state.”
- Dailey, K. M. and **Haring, S. J.** (2014) North Dakota State University (NDSU) Center for Protease Research (CPR) Frontiers in Biomedical Research Symposium (Fargo, ND). Poster Presentation – “The characterization of the Rfa1 interaction with Csm3, Mrc1, and Tof1.”
- Mueller, E. N., Piya, G., Severson, A. L., and **Haring, S. J.** (2014) North Dakota State University (NDSU) Center for Protease Research (CPR) Frontiers in Biomedical Research Symposium (Fargo, ND). Poster Presentation – “Characterization of RPA-protein interactions and their dependence on the phospho-mimetic state of the N-terminus of *Saccharomyces cerevisiae* Rfa2.”
- Lenz, R. R.* and **Haring, S. J.** (2014) North Dakota State University (NDSU) Center for Protease Research (CPR) Frontiers in Biomedical Research Symposium (Fargo, ND). Poster Presentation – “Tandem affinity purification of Rfa2 leads to identifying protein-protein interactions and post-translational modifications.”
- Wilson, T. M., Herauf, A.*, Steffes, J.[#], Mueller, E. N., Ghospurkar, P. L., and **Haring, S. J.** (2014) North Dakota State University (NDSU) Center for Protease Research (CPR) Frontiers in Biomedical Research Symposium (Fargo, ND). Poster Presentation – “Interchangeable parts: Determining Rpa2 N-terminal function through the use of human/yeast Rpa2 hybrid proteins.”
- Ghospurkar, P. L., Severson, A. L., and **Haring, S. J.** (2014) North Dakota Academy of Science Annual Meeting (Valley City, ND). Oral Presentation – “The N-terminal phosphorylation domain of Rfa2 is essential but its phosphorylation is dispensable in *S. cerevisiae*.”
- Dailey, K. M. and **Haring, S. J.** (2014) North Dakota Academy of Science Annual Meeting (Valley City, ND). Oral Presentation – “The characterization of the Rfa1 interaction with Csm3, Mrc1, and Tof1.”
- Mueller, E. N., Piya, G., Severson, A. L., and **Haring, S. J.** (2014) North Dakota Academy of Science Annual Meeting (Valley City, ND). Oral Presentation – “Characterization of RPA-protein interactions and their dependence on the phospho-mimetic state of the N-terminus of *Saccharomyces cerevisiae* Rfa2.”
- Wilson, T. M., Herauf, A.*, Ghospurkar, P. L., Dailey, K. M., and **Haring, S. J.** (2014) North Dakota Academy of Science Annual Meeting (Valley City, ND). Oral Presentation – “*Saccharomyces sapiens*: N-terminal Rfa2 phosphorylation of human-yeast fusion proteins.”
- Wilson, T. M., Dailey, K. M.*, and **Haring, S. J.** (2013) Cold Spring Harbor Symposium: Eukaryotic DNA Replication and Genome Maintenance (Cold Spring Harbor, NY). Poster Presentation – “The role of the N-terminus of Rfa2 in double-strand break repair in budding yeast.”
- Ghospurkar, P. L., Severson, A. L.*, and **Haring, S. J.** (2013) Cold Spring Harbor Symposium: Eukaryotic DNA Replication and Genome Maintenance (Cold Spring Harbor, NY). Poster Presentation – “The N-terminal domain of Rfa2 in *Saccharomyces cerevisiae* is necessary, but its phosphorylation is not required, for the response to DNA damage.”
- Mueller, E. N., Piya, G., Severson, A. L.*, and **Haring, S. J.** (2013) Cold Spring Harbor Symposium: Eukaryotic DNA Replication and Genome Maintenance (Cold Spring Harbor, NY). Poster Presentation – “Characterization of RPA-protein interactions and their dependence on the phospho-mimetic state of the N-terminus of *Saccharomyces cerevisiae* Rfa2.”
- Herauf, A.*, Mueller, E. N., and **Haring, S. J.** (2013) National Science Foundation (NSF) Research Experience for Undergraduates: Chemistry and Biochemistry, North Dakota State University (Fargo, ND). Poster Presentation – “Properties of the human Rpa2 phosphorylation domain using yeast/human Rpa2 hybrids in yeast cells.”

- Steffes, J. #, Ghospurkar, P. L., and **Haring, S. J.** (2013) Governor's School: North Dakota State University (Fargo, ND). Poster and Oral Presentation – "Examining the function of human RPA in yeast."
- Ghospurkar, P. L. and **Haring, S. J.** (2012) North Dakota Experimental Program to Stimulate Competitive Research (EPSCoR) Meeting (Grand Forks, ND). Poster Presentation – "Interaction between human Replication Protein A and a complex important for chromatin remodeling in transcription and DNA repair."
- Wilson, T. M. and **Haring, S. J.** (2012) North Dakota Experimental Program to Stimulate Competitive Research (EPSCoR) Meeting (Grand Forks, ND). Poster Presentation – "Is Replication Protein A phosphorylation important for proper meiosis?"
- Piya, G. and **Haring, S. J.** (2012) North Dakota Experimental Program to Stimulate Competitive Research (EPSCoR) Meeting (Grand Forks, ND). Poster Presentation – "Identifying protein interactions with Replication Protein A that are important for the DNA damage response."
- Severson, A. L. * and **Haring, S. J.** (2012) North Dakota Experimental Program to Stimulate Competitive Research (EPSCoR) Meeting (Grand Forks, ND). Poster Presentation – "Identifying target residues of Replication Protein A important for its post-translational modification and cellular function."
- Ghospurkar, P. L. and **Haring, S. J.** (2012) American Society for Microbiology (ASM) – North Central Branch Meeting: North Dakota State University (Fargo, ND). Oral Presentation – "Interactions between Replication Protein A and factors necessary to prevent mutation."
- Dailey, K. M. * and **Haring, S. J.** (2012) National Science Foundation (NSF) Research Experience for Undergraduates: Chemistry and Biochemistry, North Dakota State University (Fargo, ND). Poster Presentation – "Replication Protein A function in double-strand break repair."
- Haas, H. *, Piya, G., and **Haring, S. J.** (2012) National Science Foundation (NSF) Research Experience for Undergraduates: Chemistry and Biochemistry, North Dakota State University (Fargo, ND). Poster Presentation – "The N-termini of two subunits of Replication Protein A are important for mediating protein interactions."
- Twedt, E. # and **Haring, S. J.** (2012) Governor's School: North Dakota State University (Fargo, ND). Poster and Oral Presentation – "Finding the locations of interactions between proteins and Rpa1."
- Wilson, T. M. * and **Haring, S. J.** (2012) American Society for Biochemistry and Molecular Biology (ASBMB) – Experimental Biology Meeting (San Diego, CA). Poster Presentation – "Replication Protein A and sex: What's phosphorylation go to do with it?"
- Wilson, T. M. * and **Haring, S. J.** (2011) ASBMB and ACS Undergraduate Research in Molecular Sciences (URMS) Meeting: Minnesota State University – Moorhead (Moorhead, MN). Oral Presentation – "Replication Protein A and sex: What's phosphorylation go to do with it?"
- Dailey, K. M. *, Christy, E. E. *, and **Haring, S. J.** (2011) COBRE Research Experience for Undergraduates: North Dakota State University (Fargo, ND). Poster Presentation – "Replication Protein A involvement in cell cycle progression."
- Wilson, T. M. * and **Haring, S. J.** (2011) COBRE Research Experience for Undergraduates: North Dakota State University (Fargo, ND). Poster Presentation – "Determining the function of Rfa2 phosphorylation in meiosis."
- Senger, B. # and **Haring, S. J.** (2011) Governor's School: North Dakota State University (Fargo, ND). Poster and Oral Presentation – "Examining the importance of Rfa2 phosphorylation through gene knockouts and genetic interactions."
- Ghospurkar, P. L., Wallgren, J. C. *, and **Haring, S. J.** (2011) Keystone Symposium – Mechanisms of DNA Replication and Repair (Keystone, CO). Poster Presentation – "Identifying important sites of phosphorylation, potential targets of methyltransferase activity, and genetic interactions involving the 32 kDa subunit of Replication Protein A in yeast."

- Wallgren, J. C.* and **Haring, S. J.** (2010) ASBMB and ACS Undergraduate Research in Molecular Sciences Meeting (URMS): Concordia College (Moorhead, MN). Poster Presentation – “Identifying potential targets of histone methyltransferase activity and the effect on phosphorylation of the 32 kDa subunit of Replication Protein A in yeast.”
- Wong, K. K.* and **Haring, S. J.** (2010) ASBMB and ACS Undergraduate Research in Molecular Sciences Meeting: Concordia College (Moorhead, MN). Poster Presentation – “Designing a TOPO-like vector for cloning and gene knockout in yeast.”
- Allen, C. M.*, Haring, J. S., and **Haring, S. J.** (2010) COBRE Research Experience for Undergraduates: North Dakota State University (Fargo, ND). Poster Presentation – “Communication between RPA subunits in growth and in response to DNA damage.”
- Ghospurkar, P. L., Wong, K. K.*, and **Haring, S. J.** (2010) Frontiers in Biomedical Research Symposium: North Dakota State University (Fargo, ND). Poster Presentation – “Examining the role of RPA subunit expression on cell growth in human cells.”
- Christy, E. E.*, Haring, J. S., and **Haring, S. J.** (2009) ASBMB Undergraduate Research in Molecular Sciences Meeting: North Dakota State University (Fargo, ND). Poster Presentation – “Replication Protein A involvement in cell cycle progression.”
- Wong, K. K.* and **Haring, S. J.** (2009) ASBMB Undergraduate Research in Molecular Sciences: North Dakota State University (Fargo, ND). Poster Presentation – “Measuring and manipulating RPA expression in human cells.”
- Swenson, A.# and **Haring, S. J.** (2009) Governor’s School: North Dakota State University (Fargo, ND). Poster and Oral Presentation – “Examining the effects of *in vitro* site-directed mutations in Replication Factor A.”
- Christy, E. E.*, Haring, J. S., and **Haring, S. J.** (2009) COBRE Research Experience for Undergraduates: North Dakota State University (Fargo, ND). Poster Presentation – “Replication Protein A involvement in cell cycle progression.”
- Wong, K. K.*, Ghospurkar, P. L., and **Haring, S. J.** (2009) COBRE Research Experience for Undergraduates: North Dakota State University (Fargo, ND). Poster Presentation – “Measuring and manipulating RPA expression in human cells.”
- Ennis, S.*, Wobbema, A.*, and **Haring, S. J.** (2009) COBRE Research Experience for Undergraduates: North Dakota State University (Fargo, ND). Poster Presentation – “Examining the damage response of RFA in yeast.”
- Ghospurkar, P. L. and **Haring, S. J.** (2009) Department of Chemistry, Biochemistry, and Molecular Biology: North Dakota State University (Fargo, ND). Poster Presentation – “Using yeast as a vehicle to study human Replication Protein A.”
- Haring, S. J.**, Mason, A. C., Pryor, J. M., Staloch, C. A., and Wold, M. S. (2008) Salk/CalTech/USC Meeting: DNA Replication and Genome Integrity (La Jolla, CA). Oral Presentation – “A naturally-occurring human RPA subunit homolog that prevents DNA replication and cell cycle progression.”
- Haring, S. J.**, Binz, S. K., and Wold, M. S. (2007) Cold Spring Harbor Symposium: Eukaryotic DNA Replication and Genome Maintenance (Cold Spring Harbor, NY). Poster Presentation – “Domain contributions to cellular functions of human Replication Protein A.”
- Haring, S. J.** and Wold, M. S. (2006) Midwest Chromatin, Transcription, and Nuclear Dynamics Meeting (Iowa City, IA). Oral Presentation – “Cellular functions of Replication Protein A.”
- Haring, S. J.**, Binz, S. K., and Wold, M. S. (2005) Cold Spring Harbor Symposium: Eukaryotic DNA Replication and Genome Maintenance (Cold Spring Harbor, NY). Poster Presentation – “Cellular functions of Replication Protein A.”

Sheehan, A. M., Leary, D. L., **Haring, S. J.**, and Wold, M. S. (2005) Keystone Symposium: Mechanisms of Replication and Recombination (Keystone, CO). Poster Presentation – “Replication Protein A: Multiple domains are responsible for Replication Protein A activity *in vitro*.”

Haring, S. J., Lautner, L. J., Houdek, D. R., Foreman, K. E., Pansegrau, M. L., and Malone, R. E. (2003) Federation of American Societies for Experimental Biology (FASEB) Summer Research Conference: Genetic Recombination and Chromosomal Rearrangements (Snowmass, CO). Poster Presentation – “Meiotic recombination initiation in *Saccharomyces cerevisiae*.”

Haring, S. J., Jones, A. J., and Malone, R. E. (2002) Genetics Society of America (GSA): Yeast Genetics and Molecular Biology Meeting (Madison, WI). Poster Presentation – “Double-strand break sites at the recombination hotspot *HIS2* do not compete, and the sequences where they occur are important.”

Haring, S. J., Halley, G. R., and Malone, R.E. (2000) Genetics Society of America (GSA): Yeast Genetics and Molecular Biology Meeting (Seattle, WA). Poster Presentation – “Analysis of DNA sequences important for high levels of meiotic recombination at the *HIS2* gene.”

Invited Seminars

Center for Protease Research (CPR) Scientific Presentations (Fargo, ND). (2016) “CRISPR-Cas9 as a method for repair of reproductive defects due to improper gametogenesis.”

School of Medicine – University of North Dakota (Grand Forks, ND). (2014) “Understanding how cells prevent mutation and disease using baker’s yeast.”

DNA Repair Group – Colorado State University (Fort Collins, CO). (2014) “Yeast as a model system for examining phosphorylation of higher eukaryotic Replication Protein A.”

North Dakota State University (NDSU) Center for Protease Research (CPR) Symposium on Biomedical Research (Fargo, ND). (2014) “Coordinating the cellular response to aberrant DNA through Replication Protein A.”

School of Biological Sciences – University of Nebraska-Lincoln (Lincoln, NE). (2013) “Guilt by association: Examining Replication Protein A function in genomic maintenance through physical and genetic interactions.”

Interdisciplinary Cellular and Molecular Biology Program – North Dakota State University (Fargo, ND). (2013) “Guilt by association: Examining Replication Protein A function in genomic maintenance through physical and genetic interactions.”

Centers of Biomedical Research Excellence (CoBRE) – North Dakota State University (Fargo, ND). (2012) “Guilt by association: Investigating novel protein interactions with a complex essential to prevent mutation.”

Science Café – North Dakota State University (Fargo, ND). (2011) “DNA profiling: Providing justice...one molecule at a time.”

Interdisciplinary Cellular and Molecular Biology Program – North Dakota State University (Fargo, ND). (2010) “Replication Protein A: The FEMA of the cell.”

Department of Physics – North Dakota State University (Fargo, ND). (2008) “A naturally-occurring Replication Protein A homolog that prevents cell proliferation.”

Recruiting

Dickinson State University (Dickinson, ND) 2010

Minot State University (Minot, ND) 2010

External Funding*Ongoing Research Support*

“CAREER: Replication Protein A modification-dependent function in mitosis and meiosis.”

Agency: National Science Foundation (NSF)
 Program: Faculty Early Career Development (CAREER) (1253723)
 Dates: Submitted: 07/23/2012; Funding Period: 07/01/2013-06/30/2018
 Amount: \$992,429 (\$684,434 direct costs + \$307,995 indirect costs)
 Goal: To understand the role of Rpa2 phosphorylation in DNA processes that occur in response to genotoxic stress and developmental control
 Role: PI
 Score: Panel Recommendation – High Priority

Completed Research Support

“Research on the prairies: Undergraduate training in molecular sciences.”

Agency: National Science Foundation (NSF)
 Program: Research Experiences for Undergraduates (REU) (1062701)
 Dates: Funding Period: 07/01/2011-06/30/2014
 Amount: \$330,000
 Goal: To enhance undergraduate research opportunities in chemistry, biochemistry, and molecular biology
 Role: Senior Personnel (PI: Dr. Erika Offerdahl; co-PI: Dr. Mukund Sibi)
 Score: Funded

“Replication Protein A and its role in the regulation of eNOS, a gene essential for proper cardiovascular development.”

Agency: American Heart Association (AHA) Midwest Affiliate
 Program: Postdoctoral Fellowship
 Dates: Funding Period: 07/01/2005-06/30/2007
 Amount: \$78,000
 Goal: To examine the effects of Rpa2 phosphorylation on endothelial nitric oxide synthase (eNOS) gene expression
 Role: Postdoctoral Fellow
 Score: Funded (Priority score – 1.91; Percentile rank – 22.2%)

Declined Research Support

“Post-translational modifications of Replication Protein A in mitosis and meiosis.”

Agency: National Institutes of Health (NIH)
 Program: Academic Research Enhancement Award (R15) (1R15GM102752-01A1)
 Dates: Submitted: 06/25/2012; Funding Period: 04/01/2013-03/31/2016
 Amount: \$432,394 (\$299,235 direct costs + \$133,159 indirect costs)
 Goal: To understand the role of Rpa2 phosphorylation in DNA processes that occur in response to genotoxic stress and developmental control
 Role: PI
 Score: Priority score – 45

“Understanding mutant *eNOS* (-786T->C) expression and links to cardiovascular and oncogenic disease through studies of RPA.”

Agency: American Heart Association (AHA) Midwest Affiliate
 Program: Scientist Development Grant (SDG) (12SDG12200027)
 Dates: Submitted: 01/27/2012; Funding Period: 07/01/2013-06/30/2015
 Amount: \$214,000 (\$195,000 direct costs + \$19,500 indirect costs)
 Goal: To determine the function of RPA in regulating expression of genes that contain a mutant *eNOS* promoter or similar sequence (e.g., URS1 in yeast)
 Role: PI
 Score: Good

“Post-translational modifications of Replication Protein A in mitosis and meiosis.”

Agency: National Institutes of Health (NIH)
 Program: Academic Research Enhancement Award (R15) (1R15GM102752-01)
 Dates: Submitted: 10/25/2011; Funding Period: 07/01/2012-06/30/2015
 Amount: \$427,422 (\$295,794 direct costs + \$131,628 indirect costs)
 Goal: To understand the role of Rpa2 phosphorylation in DNA processes that occur in response to genotoxic stress and developmental control
 Role: PI
 Score: Priority score – 49

“Replication Protein A4 function in proper maintenance and duplication of DNA.”

Agency: National Science Foundation (NSF)
 Program: Investigator-Initiated Research Projects (IIRP-MCB) (1158512)
 Dates: Submitted: 09/06/2011; Funding Period: 07/01/2012-06/30/2016
 Amount: \$711,959 (\$492,705 direct costs + \$219,254 indirect costs)
 Goal: To identify the mechanism(s) for how Rpa4 subunit expression in human cells contributes to cell growth and function in cell survival to genomic insults
 Role: PI
 Score: Withdrawn by PI as advised by Program Officer

“CAREER: Replication Protein A modification-dependent function in mitosis and meiosis.”

Agency: National Science Foundation (NSF)
 Program: Faculty Early Career Development (CAREER) (1150097)
 Dates: Submitted: 07/22/2011; Funding Period: 07/01/2012-06/30/2017
 Amount: \$935,696 (\$647,540 direct costs + \$288,156 indirect costs)
 Goal: To understand the role of Rpa2 phosphorylation in DNA processes that occur in response to genotoxic stress and developmental control
 Role: PI
 Score: Panel Recommendation – Low Priority

“Alternative Replication Protein A function in genome duplication and maintenance.”

Agency: National Institutes of Health (NIH)
 Program: Academic Research Enhancement Award (R15) (1R15CA152916-01A1)
 Dates: Submitted: 10/25/2010; Funding Period: 07/01/2011-06/30/2014
 Amount: \$429,884 (\$299,571 direct costs + \$130,313 indirect costs)
 Goal: To identify the mechanism(s) for how Rpa4 subunit expression in human cells contributes to cell growth and function in cell survival to genomic insults
 Role: PI
 Score: Priority score – 33

“CAREER: Replication Protein A modification-dependent function in mitosis and meiosis.”

Agency: National Science Foundation (NSF)
 Program: Faculty Early Career Development (CAREER) (1054544)
 Dates: Submitted: 07/20/2010; Funding Period: 07/01/2011-06/30/2016
 Amount: \$792,146 (\$552,018 direct costs + \$240,128 indirect costs)
 Goal: To understand the role of Rpa2 phosphorylation in DNA processes that occur in response to genotoxic stress and developmental control
 Role: PI
 Score: Panel Recommendation – High Priority

“Identification and dissection of alternative Replication Protein A function in genome maintenance and disease prevention.”

Agency: National Institutes of Health (NIH)
 Program: Academic Research Enhancement Award (R15) (1R15CA152916-01)
 Dates: Submitted: 10/25/2009; Funding Period: 07/01/2010-06/30/2013
 Amount: \$425,468 (\$300,000 direct costs + \$125,468 indirect costs)
 Goal: To identify the mechanism(s) for how Rpa4 subunit expression in human cells contributes to cell growth and function in cell survival to genomic insults
 Role: PI
 Score: Priority score – 67

“Replication Protein A4 as a mechanism to prevent abnormal cell growth.”

Agency: American Cancer Society
 Program: Research Scholar Grants in Basic, Preclinical, Clinical, and Epidemiology Research
 Dates: Submitted: 10/15/2009; Funding Period: 07/01/2010-06/30/2014
 Amount: \$828,370 (\$692,191 direct costs + \$136,179 indirect costs)
 Goal: To identify the mechanism(s) for how Rpa4 subunit expression in human cells contributes to cell growth and function in cell survival to genomic insults
 Role: PI
 Score: Good

Internal Funding

Ongoing Research Support – no ongoing internal funding

Completed Research Support

Startup Funds

Agency: College of Science and Mathematics – NDSU (Fargo, ND)
 Dates: 07/01/2012-06/30/2013
 Amount: \$10,000
 Goal: Establish a biochemistry and molecular biology research program at NDSU
 Role: PI

Startup Funds

Agency: Department of Chemistry and Biochemistry – NDSU (Fargo, ND)
 Dates: 07/01/2010-06/30/2013
 Amount: \$40,000
 Goal: Establish a biochemistry and molecular biology research program at NDSU
 Role: PI

“Directing protein interactions through Rpa2 post-translational modification.”

Agency: Center of Biomedical Research Excellence (CoBRE), Center for Protease Research – NDSU (Fargo, ND) via National Institutes of Health (5P20RR015566 and 1P30GM103332)
 Program: Seed Grant
 Dates: 08/01/2012-06/30/2013
 Amount: \$7,000 (withdrawn during transition to CoBRE III)
 Goal: Examine the roles of post-translational modification of Rpa2 on protein interactions
 Role: PI

Startup Funds

Agency: Department of Chemistry and Biochemistry – NDSU (Fargo, ND)
 Dates: 07/01/2009-06/30/2010
 Amount: \$38,000
 Goal: Establish a biochemistry and molecular biology research program at NDSU
 Role: PI

“Examination of a novel Replication Protein A homolog with anti-proliferative properties.”

Agency: Center of Biomedical Research Excellence (CoBRE), Center for Protease Research – NDSU (Fargo, ND) via National Institutes of Health (5P20RR015566)
 Program: Seed Grant
 Dates: 01/01/2009-06/30/2009
 Amount: \$15,000
 Goal: To develop tools to study Rpa4 expression and its effects in tissue culture cells
 Role: PI

Startup Funds

Agency: Department of Chemistry and Biochemistry – NDSU (Fargo, ND) via National Institute of Justice (2004RGCX-K001)
 Dates: 07/01/2008-06/30/2010
 Amount: \$223,000
 Goal: Establish a biochemistry and molecular biology research program at NDSU
 Role: co-PI

Startup Funds

Agency: Department of Chemistry and Biochemistry – NDSU (Fargo, ND) via National Institutes of Health (5P20RR015566)
 Dates: 07/01/2008-06/30/2010
 Amount: \$75,000
 Goal: Establish a biochemistry and molecular biology research program at NDSU
 Role: co-PI

“Cellular and biochemical roles of an alternative Replication Protein A complex.”

Agency: Holden Comprehensive Cancer Center – University of Iowa (Iowa City, IA)
 Program: Center for Aging Program Grant
 Dates: 07/01/2007-06/30/2008
 Amount: \$50,000
 Goal: To determine the anti-proliferative effects and properties of Rpa4 subunit expression in human cells and to biochemically characterize purified alternative RPA complex
 Role: PI

Service, Outreach, and Professional Development***University***

University Athletics Committee	Member: 2009-2013 Chair: 2011-2013
NDSU Advance FORWARD	Ally: 2011-Present
Governor's School	Mentor: 2009, 2011-Present
Ronald E. McNair Scholars Program	Mentor: 2009-2011
CoBRE Summer Undergraduate Research	Mentor: 2009-2011
NSF Research Experience for Undergraduates	Mentor: 2012-Present
NDSU Advance FORWARD Faculty Search Committee Training	Participant: 2012
STEM Education Building Planning/Organization	Contributor: 2013-2014
NDSU Research Council	Member: 2015-Present
NDSU Faculty Senate	Senator: 2015-Present

Departmental

Curriculum and Assessment Committee (CAC)	2015-Present
Graduate Student Progress Committee (GSPC)	2009-Present
Common Methods of Biochemistry and Molecular Biology Research – Annual Seminar for First Year Graduate Students (CHEM 720)	2012-Present
Biochemistry Curriculum and Examination Committee	2009-2015
Strategic Planning Committee	2012-2013
Biochemistry Faculty Search Committee	2012-2013

Graduate Student Committees***Graduated***

Steve Wanjara	2012-Present	Institution: North Dakota State University (Fargo, ND) Degree: Biochemistry and Molecular Biology – Ph.D.
Padmaja L. Ghosporkar	2008-2015	Institution: North Dakota State University (Fargo, ND) Degree: Biochemistry and Molecular Biology – Ph.D.
Jena Peine	2013-2015	Institution: North Dakota State University (Fargo, ND) Degree: Animal Sciences – M.S.
Heather E. Bergan	2011-2014	Institution: North Dakota State University (Fargo, ND) Degree: Zoology – Ph.D. Program
Ruchi (Khanna) Gupta	2010-2014	Institution: North Dakota State University (Fargo, ND) Degree: Biochemistry and Molecular Biology – M.S.
Gunjan Piya	2010-2013	Institution: North Dakota State University (Fargo, ND) Degree: Biochemistry and Molecular Biology – M.S.

Elizabeth Ellens	2010-2012	Institution: North Dakota State University (Fargo, ND) Degree: Zoology – M.S.
Juan Rodriguez La Torre	2009-2012	Institution: North Dakota State University (Fargo, ND) Degree: Plant Pathology – Ph.D.
Megan F. Palmer	2008-2011	Institution: North Dakota State University (Fargo, ND) Degree: Biochemistry and Molecular Biology – M.S.

Current

Timothy M. Wilson	2012-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program
Andrew Scott	2014-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program
Jessie Arneson	2013-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program
Karen Preskey	2013-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – M.S. Program
Angela M. Adsero	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Cellular and Molecular Biology – Ph.D. Program
Trevor A. Baumgartner	2015-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program

Past

Erica N. Mueller	2012-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program
Kaitlin M. Dailey	2013-Present	Institution: North Dakota State University (Fargo, ND) Program: Biochemistry and Molecular Biology – Ph.D. Program
Hilary Hafner	2011-2013	Institution: North Dakota State University (Fargo, ND) Program: Veterinary and Microbiological Sciences – M.S. Degree
Delci Christensen	2011	Institution: North Dakota State University (Fargo, ND) Program: Zoology – M.S. Program
Jeffrey Hunt	2009-2010	Institution: North Dakota State University (Fargo, ND) Program: Zoology – M.S. Program

Outreach

Tri-Beta (Concordia College – Moorhead, MN) – External Graduate School Advisor	2010-Present
Annual ASBMB and ACS Undergraduate Research in the Molecular Sciences (URMS) Meeting – Presentation Judge	2009, 2011
Annual ASBMB and ACS Undergraduate Research in the Molecular Sciences (URMS) Meeting –Co-Organizer	2011
NDSU College of Science and Mathematics: Science Café (Fargo, ND) – Presenter	2011
Southeast Regional Science and Engineering Fair (Fargo, ND) – Judge	2012
National Science Foundation Molecular and Cellular Biology Grants - Reviewer	2013-2014
North Dakota Academy of Sciences – President	2014-2016
North Dakota Academy of Sciences – Secretary	2016-Present
NDSU TRIO Symposium – Poster Judge	2014
NDSU Center for Protease Research (CPR) Frontiers in Biomedical Research Symposium (Fargo, ND) – Co-Organizer	2013-2014
National Science Foundation (NSF) Molecular and Cellular Biology (MCB) - Panelist	2015
National Science Center (NCN; Poland) – Reviewer	2015
ND EPSCoR NSF/NIH Workshop – Panelist as an NSF CAREER awardee	2015

Professional Development (Excluding Scientific Meetings)

Peer Evaluation of Teaching (NDSU – Fargo, ND) – Formative Assessment	2009
Faculty Mentoring Program (NDSU – Fargo, ND)	2008-2009
Grant Writing Seminars – Sponsored by the Center for Protease Research (NDSU – Fargo, ND)	2008-2009
Pedagogical Luncheons (NDSU – Fargo, ND)	2008-Present
“Dig-In”: Using Technology in Instruction – Sponsored by Instructional Services (NDSU – Fargo, ND)	2012
Writing and Reviewing Manuscripts Workshop – Sponsored by NDSU CPR (Fargo, ND)	2014
Responding Effectively to Critiques Workshop – Sponsored by NDSU CPR (Fargo, ND)	2014

Professional Memberships

American Heart Association (AHA)
 American Society for Biochemistry and Molecular Biology (ASBMB)
 Genetics Society of America (GSA)
 American Society for Microbiology (ASM)
 North Dakota Academy of Science (NDAS)

CURRICULUM VITAE

D. Carlton (Carlos) Hawley Jr.

Home Address:

1102 10th Street South
Fargo, ND 58103
(701) 451-0134

Office Address:

Department of Modern Languages #2345
334M Minard Hall
PO Box 6050
North Dakota State University
Fargo, North Dakota 58108-6050
(701) 231-8848

Education

1974-1981 B.A. — Spanish, University of Northern Iowa, Cedar Falls Iowa
1981-1983 M.A.— Spanish, University of Northern Iowa, Cedar Falls, Iowa
1985-1999 Ph.D. — Spanish, University of Iowa, Iowa City, Iowa

Teaching Experience

2005 - Date Associate Professor, Spanish Language and Literature, North Dakota State University
1998 - 2005 Assistant Professor, Spanish Language and Literature, North Dakota State University
1997 - 1998 Instructor, Spanish Language and Literature, North Dakota State University
1996 - 1997 Lecturer, Spanish Language and Literature, North Dakota State University
1994 - 1996 Teaching Assistant, Third and Fourth Year Spanish, University of Iowa
1988 - 1993 Instructor, First and Second Year Spanish and Spanish Civilization, Iowa State University
1987 - 1988 Instructor, Spanish I, II and III, Winona State University
1985 - 1987 Teaching Assistant, First and Second Year Spanish, University of Iowa
1983 - 1985 Half-time Professor, Translation, Interpretation and Introduction to Literature, Universidad Pontífice del Ecuador
1983 - 1985 Instructor of English as a Second Language, Colegio Americano de Quito
1982 - 1983 Teaching Assistant, First and Second Semester Spanish, University of Northern Iowa

Publications

Book Review: *The Poetics of Piracy: Emulating Spain in English Literature*. Published in *Studies in Medieval and Renaissance Teaching* (SMART), 2016

Coeditor, with Edward Risdén, of Volume Fourteen, *Enarratio*, the scholarly journal of the Medieval Association of the Midwest (MAM).

Enarratio/Publications of the Medieval Association of the Midwest: "Progress and Prejudice: Misarchaia, Scholarship and the Pre-Modern Text."

"Scholarship and the Classroom: Navigating the Gulf." Published in the Spring 2004 issue of *Studies in Medieval and Renaissance Teaching* (SMART).

"La cultura del Arcipreste: prácticas materiales", Published in *Juan Ruiz, arcipreste de Hita, y el "Libro de buen amor"*, Ayuntamiento de Alcalá la Real, Centro para la Edición de los clásicos españoles, Alcalá la Real, MMIV.

Papers and Presentations

"Juan Ruiz, Archpriest of Hita and the Fall of the *Cuaderna Vía*. Presented at the Medieval Association of the Midwest (MAM) 31st Annual Conference held at Hill Museum and Manuscript Library in Collegeville, Minnesota, from October 8th through 10th.

"Clandestine Conceptions and Perplexing Parturitions Between *Amadís de Gaula* and *Don Quijote de la Mancha*" Presented at the Medieval Association of the Midwest (MAM) 30th Annual Conference held at Saint Louis University-Madrid, held January 23rd, 24th, and 25th, 2015 in Madrid, Spain.

"Could the *Cuaderna Vía* Ever Be Dead Enough?" Presented at The Cleric's Craft: Crossroads of Medieval Spanish Literature and Modern Critique Conference held at the University of Texas at El Paso, held October 22nd, 23rd, and 24th, 2015 in El Paso, Texas.

«*Don Quijote* and Cervantes: 400 Years of Fascination», Presented at the Foreign Language Association of the Red River (FLARR) 2015 Conference held March 7th of 2015 on the campus of The University of North Dakota in Grand Forks, North Dakota.

«Clandestine Conceptions and Perplexing Parturitions between *Amadís de Gaula* and *Don Quijote de la Mancha*», Presented at the Medieval Association of the Midwest (MAM) 30th Annual Conference held January 23, 24th, and 25th of 2015 on the campus of Saint Louis University-Madrid, Madrid, Spain.

«Whatever Happened to the *Cuaderna Vía*?» Presented at the 40th Annual Meeting of the Foreign Language Association of the Red River (FLARR) on the 12th of October 2013, on the campus of Minnesota State University, Moorhead, in Moorhead, Minnesota.

«The Culture of the *Cuaderna Vía*» Presented at the Medieval Association of the Midwest (MAM) 29th Annual Conference held September 26, 27th, 28th, and 29th of 2013 on the campus of Indiana State University, Terre Haute, Indiana.

*Medievalists' Longest year: The Theft of the **Codex Calixtinus***, Presented at the Medieval Association of the Midwest (MAM) 28th annual conference held September 27th and 29th, 2012 on the campus of Xavier University in Cincinnati, Ohio.

The Beat Goes On or a Different Drummer: The LBA Corollaries, presented at the 2012, 47th Annual International Congress on Medieval Studies (May 10-13) and organized by The Medieval Institute of the College of Arts and Sciences of Western Michigan University and held at Western Michigan University, Kalamazoo, Michigan.

"God, Allah, Christians, Muslims, and the Munchies" at the Medieval Association of the Midwest (MAM) 27th annual conference held September 29th and October 1st, on the campus of Saint Norbert College.

Presented and participated in "Paying Forward, Looking Back: Fostering Medieval Studies in the Twenty-First Century: In honor of Cynthia Valk (A Roundtable)," at the 2010, 45th Annual International Congress on Medieval Studies (May 13-16) organized by The Medieval Institute of the College of Arts and Sciences of Western Michigan University and held at Western Michigan University, Kalamazoo, Michigan, 13-16/V/2010.

"A Flurry of Fables in the *Libro de buen amor*: Girls Night Out" at the 2010 Annual Conference of the Medieval Association of the Midwest, held on the 16th and 17th days of September on the campus of the University of Iowa in Iowa City, Iowa, 16-17/IX/2010.

"A very Christian Pet: The Mastiff of the *Libro de buen amor*," presented at the 2009, 44th Annual International Congress on Medieval Studies (May 7-10) organized by The Medieval Institute of the College of Arts and Sciences of Western Michigan University and held at Western Michigan University, Kalamazoo, Michigan, 7-10/V/2009

"Public and Private Justice: Penalties Assessed in the Romance de Barnal Francés," presented at the 2008 Midwest Modern Language Association's 50th Annual M/MLA Convention held at The Minneapolis Marriott City Centre, Minneapolis, Minnesota, 13-16/XI/2008.

"My Way or the Highway: Juan Ruiz on the Road Without a Guide", Presented at the 47th Annual Convention of the Midwest Modern Language Association (M/MLA) held at the Pfister Hotel in Milwaukee, Wisconsin, 10-13/XI/2005.

"Juan Ruiz, Archpriest of Hita on the Road Without a Guide", Presented at the Medieval Association of the Midwest 20th Annual Conference on the campus of University of Illinois, Springfield, Springfield, IL, 23-24/IX/2005.

"Complexity, Simplicity and Complicity in the *Libro de buen amor*", presented at the 40th International Congress on Medieval Studies, on the campus of Western Michigan University, Kalamazoo, MI, 5-8/V/2005.

"Complexity in the Fourteenth Century Pseudo-autobiography: Juan Ruiz and His Audience." Presented at the Medieval Association of the Midwest 20th Annual Conference on the campus of Northern Michigan University, Marquette, MI, 24-25/IX/2004.

“Complexity and the Fables in the *Libro de buen amor*”, presented at the 39th International Congress on Medieval Studies, on the campus of Western Michigan University, Kalamazoo, MI, 6-9/V/2004.

*Complexity and the **Libro de buen amor***. Presented at the Medieval Association of the Midwest 19th Annual Conference on the campus of the University of Indianapolis in Indianapolis, IN, 10-11/X/2003.

*Ethnicity and the **Poema de mio Cid**: Premodern and Postmodern Polemic*. Presented at The Medieval Association of the Midwest 18th Annual Conference on the campus of Saint Norbert College in De Pere, WI, 27-28/IX/2002.

Progress and Prejudice: Misarchaia in Scholarship of the Golden and Middle Ages. Carolina Conference on Romance Literatures March 21-23, 2002, Chapel Hill, North Carolina.

La cultura del arcipreste: prácticas materiales. Presented at the Congreso Internacional Sobre el Arcipreste de Hita y el **Libro de buen amor**, held 9-11/V/2002 in the Ayuntamiento de Alcalá la Real, Spain.

El papel de la traducción en la enseñanza del inglés. Presented in Cáceres, Spain, February 2nd, 2001, for the X Jornada de Metodología de la Enseñanza de una Lengua Extranjera of the Cátedra de Filología Inglesa of the Universidad de Cáceres.

*Niveles de texto: del texto dinámico al texto abúlico en **Don Quijote***. Presented in Cádiz, Spain, January 2001, for the Universidad de Cádiz, Facultad de Filosofía y Letras.

Entre el fragmento y el texto abúlico: acercamientos a textos canónicos. Presented at the Universidad de Granada, Spain on January 25th, 2001, for the Departamento de Filología y Letras Hispánicas.

*Niveles de texto: del texto dinámico al texto abúlico en **Don Quijote***. Presented in Almería, Spain, 23, January, 2001, for the Departamento de Filología Española y Latina de la Universidad de Almería.

*Niveles de texto: del texto dinámico al texto abúlico en **Don Quijote***. Presented in Alcañiz, Spain, January 16-20, 2001, for the *Curso interdisciplinar de humanidades: del mundo antiguo a las puertas del tercer milenio, II*.

Poetry and the Hierarchies of Power: The Romances of don Álvaro de Luna. Presented at the Medieval Association of the Midwest (MAM) 17th Annual Conference on the campus of The University of Wisconsin in Madison, WI, September 28-29, 2001.

*The Abulic Text in the **Libro de buen amor**: Part II*. Presented at the 36th International Congress on Medieval Studies on the campus of Western Michigan University on 3-6/V/2001.

*The Abulic Text in the **Libro de buen amor**: Part I*. Presented at The Medieval Association of the Midwest (MAM) 16th Annual Conference, held 6-7/X/2000 at The College of Saint Scholastica in Duluth, MN.

*Levels of the Text: From the Dynamic to the Abulic in Cervantes' **Don Quijote***. Presented at the Red River Conference on World Literature, 2nd Annual, North Dakota State University, Department of English, Fargo ND in April of 2000.

Los toros en la lírica de Federico García Lorca y Rafael Alberti. Dissertation for PhD. at the University of Iowa, 1999.

The Spanish Bullfight. Presented to The Ottumwa Area Arts Council: *¡Hola España!*, Ottumwa, Iowa. April, 1993.

«*Darío, el expatriado*». Presented and later published in *Ponencias de Cien años de Azul*. Congreso internacional para celebrar el centenario de la publicación de *Azul* de Rubén Darío. University of Northern Iowa, Cedar Falls, Iowa. November 1988.

Pedagogy:

—For the development of the Faculty Led Study Abroad Civilization Course on the Camino de Santiago (SPAN 379), I trekked the Camino de Santiago (Way of Saint James) from Saint Jean Pied de Port to Santiago de Compostela. During the pilgrimage, I met with scholars and administrators at the University of Burgos. Together we have added the course to the NDSU Summer curriculum for 2014.

Works in progress:

- *Complexity, Chaos and Culture in the **Libro de buen amor***
- *Plagiarizing Mandelbrot: The Exact Science of Cultural Poetics.*

Service

University

- Wrote Spanish Language Component to Web Course in conjunction with NDSU College of Engineering (The course has been online since the Spring 2001 Semester).*
- Represented the College of Arts, Humanities and Social Sciences on the Committee for Technology Enhanced Learning.*
- Represented and chaired the College of Arts, Humanities and Social Sciences on the Academic Affairs Committee.*
- Represented the College of Arts, Humanities and Social Sciences in the University Senate.*

College of Arts, Humanities and Social Sciences

- Served on the Technology Enhanced Learning committee.*
- Served on Policy and Planning and Governance Committee.*
- Served on Student Progress Committee.*
- Served on Curriculum Committee*

Department of Modern Languages

- Red River Conference of World Literature Committee.*
- NDSU library consultant for Spanish language texts for the Department of Modern Languages.*
- Department of Modern Languages Search Committee*

Professional Outreach

- Translation/Interpretation for the Cass County District Court.*
- Translation/Interpretation for the Federal Public Defender's Office, Fargo, ND*

- Translation/Interpretation for *Global Electric MotorCars, L.L.C.*
- Translation/Interpretation for *CoffeeHouseTranslations*

Professional Organizations

- MAM: Medieval Association of the Midwest (President 2014 to present)
- MLA: Modern Language Association
- MMLA: Midwest Modern Language Association

ROBERT V. PIERI

Professor, Department of Mechanical Engineering
Rm. 210 Dolve Hall
North Dakota State University
Fargo, North Dakota, 58105

Phone: 701-231-8673
Fax: 701-231-8913
E-mail: Robert.Pieri@ndsu.edu

Education:

Ph.D.:	CARNEGIE-MELLON UNIVERSITY, Pittsburgh, PA	1987
M.E.:	Thayer School of Engineering, DARTMOUTH COLLEGE, Hanover, NH	1973
B.S.M.E.:	UNIVERSITY OF MASSACHUSETTS - AMHERST, Amherst, MA	1971

Professional Experience:

6/02 - Present	Professor , Department of Mechanical Engineering and Applied Mechanics, North Dakota State University, NDSU
6/13 – Present	Chair , Committee on First Year Engineering Experience, College Of Engineering, NDSU
11/08 – 11/11	Coordinator Tribally Controlled College/ NDSU Partnerships , Divisions of Equity, Diversity, and Global Outreach & Extension Service, North Dakota State University
8/03 – 5/04	Visiting Professor , Turtle Mountain Community College, Turtle Mountain Chippewa Reservation, Belcourt, ND
8/96 – 6/02	Chairman and Professor , Department of Mechanical Engineering and Applied Mechanics, North Dakota State University
2/96 – 8/96	Senior Mechanical Engineer , Allied Signal Technical Services Corp., Colorado Springs, CO
12/94 – 7/95	Senior Design Engineer , AML Industries Inc. Colorado Springs, CO
6/94 –12/94	Professor of Engineering Mechanics , <i>Deputy for Curriculum</i> , Department of Engineering Mechanics, joint with Visiting Fellow , Center for Educational Excellence, United States Air Force Academy (USAFA)
6/91 – 6/94	Tenure Associate Professor , <i>Deputy for Curriculum</i> , Department of Engineering Mechanics, USAFA
7/87	Registered Professional Engineer , CO
1/87 – 6/91	Associate Professor , <i>Chief Materials Division</i> , Department of Engineering Mechanics, USAFA, 1987
6/81 – 8/83	Instructor of Engineering Mechanics , Department of Engineering Mechanics, USAFA.
1/79 – 6/81	Commander, Detachment 1 , US Air Force Geophysics Laboratory, Holloman AFB, NM.
9/73 – 1/79	Mechanical Engineer , Stratospheric Composition Program, AF Geophysics Laboratory, Hanscom AFB, MA.

Selected Publications and Presentations:

Pieri, R. V., & Legg, T. D., & Vallie, A. M., & Alfson, L., & Mattes, J. J., & Parker, M. M., & Padmanabhan, G. (2015, June), *Pre-Engineering Education Collaborative at Four: Approaching the Final Phases* Paper presented at 2015 ASEE Annual Conference and Exposition, Seattle, Washington. 10.18260/p.24578

“From Continuum-based to Multiscale-based Engineering Mechanics Education”, G. Karami and R. Pieri, The International Journal of Engineering Education, Vol 23 Num3, 2007, pg 582-590

“Experience with and Lessons Learned in a Stem Summer Camp for Tribal Students”, Lin W., Padmanabhan G., Robert Pieri, Patterson F. paper: AC2007-1867, Proceeding of 2007 Annual Conference of the American Society for Engineering Education, Honolulu, HI, June 24-27, 2007

Synergistic Activities, Honors and Grants:

Author & NDSU PI on \$4.8M five year NSF sponsored collaborative grant entitled “PEEC: 2+2+2+∞: Pipeline for Tribal Pre-Engineering to Society (PTiPS)” which seeks to establish a collaboration of tribal colleges and mainstream universities to produce an educational pipeline for students from the state’s Native American population to become interested with and receive the education for a career in engineering.

Co-PI DoEnergy Wind to Hydrogen project, sponsored through Basin Electric Power Cooperative titled “H2Tractor”, ~\$25K, which explores dual fuel (hydrogen gas & diesel fuel) used to power a medium size field tractor. The focus is domestic use of wind-power-generated hydrogen to reduce dependence on off-shore oil and reduction of emissions.

Senior Personnel, DoED FIPSE sponsored US – Brazil Exchange program with Michigan Tech University for ~\$200K. The project focuses on the preparation of engineering students to cope with the international energy considerations now and in the future. This program pays particular attention to energy and environmental and sustainability issues.

Co-PI NSF CCLI grant titled “Transition from Continuum-based Mechanics to Multiscale Mechanics in Engineering Education” for \$125,000 to incorporate introductions to nanotechnology into basic courses in mechanics and mechanics of materials.

PI of one-year NSF Bridges to Engineering Education grant for \$99,999 to develop a program that: 1) increase the numbers of students from tribal high schools and community colleges that select engineering majors and 2) improve the pedagogy of Engineering professors and the science preparation of students in the School of Education.

PI on four-year FIPSE grant for \$209,999 within the Dept. of Education Program for North American Mobility in Higher Education, titled “Alliance for North American Mobility in Engineering, (ANAME)”. Project partners two USA universities with two each in Canada and Mexico to prepare engineers to impact North American Free Trade.

Co-PI on ONR sponsored three-year grant (\$550,000 with options on two more years & \$700,000) to Native American Community Colleges to attract students to sciences and engineering careers. Title: “An Adaptive Systemic Initiative of Tribal Collaboration for Increasing Native American Participation in Mathematics, Science and Engineering”

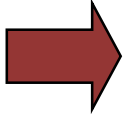
Teaching Interest & Experience:

STEM preparations of students in K-12 particularly for Native American and rural students. Optimization of educational experience at college level by integration of best industrial practices, design, and educational pedagogy into the classroom effectively utilizing available teaching tools and media. Taught courses on: materials (selection, treatment & testing), strength of materials, statics, dynamics, failure analysis, design, internal combustion engines, mechanisms, computers and instrumentation.

Thesis Advisor / Committee & Outreach: NDSU Department of Mechanical Engineering, MS thesis Advisor: Jacob Hanson, Lee Kersting, Kirk Bottelberghe, Tyler Stousland, Austin Decker & Leslie Flemming, Committee Member: Matt Kasper, Aaron Joneson, Adriana Brasoava, Mitchel Osborn & Andrew Thoreson
Visiting Scholar Sponsor: Dr. P. K. Bose, Director National Institute of Technology Agartala, Tripura and National Institute of Technology Silchar, Assam, Dr. Soupayan Mitra, Jalpaiguri Government Engineering College, West Bengal, India

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: 190 Employee Responsibility and Activities: Intellectual Property

1. **Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).**
 - Is this a federal or state mandate? ☐ Yes ☒ No
 - Describe change: Amendment to Section 190, item 6.2, to:
 - o ensure Master's papers are included with dissertations and theses
 - o include clear language relating to NDSU publication rights for graduate student dissertations, theses, and Master's papers, and
 - o include statement establishing graduate student responsibility for obeying copyright law.
 - Rationale: The previous version of the policy included NDSU publication rights in a clear way. This was removed in the revision, but is essential for including theses, papers, and dissertations in the Institutional Repository. The proposed revision also clarifies that it is students' responsibility to obtain appropriate permission from the copyright owner if the document contains material for which the student does not hold copyright. This is necessary for NDSU's legal protection.
2. **This policy change was originated by (individual, office or committee/organization):**
 - Office/Department/Name and the date submitted
 - o College of Graduate and Interdisciplinary Studies, March 16, 2016
 - Email address of the person who should be contacted with revisions
 - o Brandy.randall@ndsu.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. **This policy has been reviewed/passed by the following (include dates of official action):**

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 190

EMPLOYEE RESPONSIBILITY AND ACTIVITIES: INTELLECTUAL PROPERTY

SOURCE: SBHE Policy Manual, Section 611.2

1. General Principles.

1.1. The North Dakota State Board of Higher Education ("Board") encourages and promotes research and scholarship based upon the traditional principles of the academic profession. Some creative endeavors, discoveries, advancements, and innovative approaches have the potential to be utilized outside of the North Dakota University System ("System"). Through this Intellectual Property Policy, the Board seeks to execute a synergistic model of education, research, outreach, service, and economic development to accomplish a greater good.

1.2. This Policy establishes guidelines to support faculty, staff, and students in identifying, protecting, and administering intellectual property ("IP"), and defines the rights and responsibilities of all involved. Each Institution shall adopt procedures implementing this Policy, a process for resolving disputes, and a process for informing faculty, staff, and students of their respective rights and responsibilities related to IP. Each Institution may adopt a separate statement of IP policies, provided that such statement does not conflict with this Policy.

1.3. The primary purposes of this Policy are to:

- Provide clear guidance for all involved in the creation, development, management, protection, and dissemination of discoveries and IP within the System and its Institutions.
- Provide for an effective and efficient process to achieve positive outcomes for creators, the System and its Institutions.
- Effectively manage all interests that may emerge in relation to discoveries that have commercial value or other desirable outcomes and provide guidance as to which of these interests or outcomes has priority.
- Place creative output into practical use for public benefit as quickly and as effectively as possible, and in a manner consistent with applicable laws and public policy.
- Facilitate the creation of appropriate public-private partnerships to support economic development.
- Encourage a broad array of mutually beneficial relationships with organizations outside of the System and its Institutions to enhance creative output, including collaborative research, licensing of IP, and the formation of companies specifically for the purpose of commercializing newly created IP.
- It is the expectation of the Board that all persons involved in the creation, development, management, protection, and dissemination of IP shall conduct themselves in accordance with the Core Values espoused in SBHE Policy 100.5 (II).

2. Definitions.

- 2.1. "Breeder(s)" or "Plant Breeder(s)" as defined by the PVPA, 7 U.S.C. § 2401(a)(2). In regards to plant variety protection, a "Breeder" is the person(s) who directs the final breeding creating a variety and/or the person(s) who discovers and develops the variety. 7 U.S.C. § 2401 (a)(2).
- In regards to plant variety protection, "discover" means finding a natural plant which results in breeding a variety, or finding a new variety by performing experiments on results of cross-breeding and realizing that the resulting plant is different and closer in characteristics to a desired variety.
 - In regards to plant variety protection, "develop" means to make additional selections for (a) cross-breeding and/or (b) developing pure lines. This may lead to the variety for which protection is sought or may eliminate variance and convert a non-uniform variety to a uniform variety using the desired characteristics.
- 2.2. "Creator": A person who contributes in a significant manner to the development of IP on behalf of the System or one of its Institutions including "Breeder(s)" or "Plant Breeder(s)".
- 2.3. "Institution": One of the individual colleges or universities of the North Dakota University System.
- 2.4. "Intellectual Property" or "IP": Collectively, any form of property created by the mind including, but not limited to, Inventions, trade secrets, copyrights, trademarks, mask works, and any other tangible research result such as biological materials, engineering drawings, integrated circuit chips, computer databases, prototype devices, circuit diagrams, and equipment.
- 2.5. "Invention": A process, method, discovery, device, plant, composition of matter, know-how, or other discovery that reasonably appears to qualify for protection under United States patent law, whether or not actually patentable (including, but not limited to, utility patents, plant patents, design patents, certificates of Plant Variety Protection). This includes patent-eligible software that may also be copyrightable.
- 2.6. "Net Royalties": Gross revenues, including all royalties, licensing, and other fees generated as a direct result of IP, less the actual, out-of-pocket expenses incurred in procuring and maintaining protection, marketing (at the discretion of the System or one of its Institutions), licensing and enforcing rights in such IP.
- 2.7. "Significant Use of Resources": A Creator's use of System or institutional facilities, equipment and/or employees' time that appreciably increases the costs of the System or Institution beyond those normally incurred. Significant Use does not include the Creator's own time (including developmental leave) or the normal use of facilities or equipment commonly available to faculty, staff, *students*, or the public, such as libraries, Internet access, office space, office equipment, computers, and/or office supplies.

3. General Patent (IP) Policy.

- 3.1. The Board strongly encourages the pursuit of formal protection and/or efforts to commercialize all IP as a method of bringing recognition and remuneration to Creators, the System, and Institutions.
- 3.2. Except as otherwise provided herein, and subject to restrictions arising from overriding obligations and/or institutional policies, Institutions shall have and hold title to all IP that is the result of any work, research, or investigation conducted by institutional employees in the course and scope of their employment. Upon employment and as otherwise necessary, all employees of an Institution shall be required to execute an appropriate written assignment of IP to the Institution. *Temporary*

employees may be required to sign as well based on supervisor discretion. A failure to have the Agreement signed in no way changes or lessens the applicability of this Policy. For purposes of this Policy, Creators employed by the System shall be deemed employees of (i) the Institution most closely connected to the development of specific IP in terms of facilities or resources utilized or, if none, (ii) the Institution to which the specific IP is first disclosed by at least one Creator or, if none, (iii) the Institution selected by the Chancellor or designee upon disclosure of specific IP to the System.

3.3. Each Institution's procedures shall act as a guide for determining, clarifying, and/or preserving ownership of IP, shall provide for the disclosure, review, and evaluation of IP, and shall at a minimum require:

- The Creator's timely, written disclosure of IP.
- The Creator's provision of all necessary declarations, assignments, or other documents as may be necessary.
- The Institution's review of the technical and/or commercial viability and, in the case of Inventions, patentability, of IP within a reasonable period of time.

3.4. If at any time an Institution decides not to pursue, or otherwise to discontinue its protection and commercialization of any IP, the Institution shall notify the Creator(s). In the absence of overriding obligations the Institution shall upon request of at least one Creator release its rights in such IP to the original assignor(s), subject to an obligation to reimburse the Institution for its actual out of pocket costs in the event of a commercial windfall. However, under no circumstance may the Creator(s) to whom rights are released use the name of the System or an Institution in connection with subsequent development, use, or marketing of the IP. Creators may request that IP rights be released, even in the absence of a prior decision by the Institution to discontinue protection. Institutions shall have the discretion to grant such a request provided that the Institution may require, as a condition of the release of IP rights, that the Creator(s) reimburse the Institution for its actual, out-of-pocket costs incurred in pursuing formal protection of the IP.

3.5. Subject to any overriding obligations, Creators, or the Creators' heirs, successors, or assigns, shall be entitled to a minimum of forty (40) percent of the Net Royalties received by the Institution in connection with the Creators' IP. Each Institution's procedures should allocate remaining Net Royalties to be utilized principally in support of research.

3.6. When there are two or more Creators, each Creator shall share equally in the Creator's share of Net Royalties unless all have agreed in writing to a different distribution of such share. The Institution will honor any agreement purporting to share rights and/or royalties between participating parties to the fullest extent permitted under any applicable law. In cases of joint development where Creators are employed at two or more institutions, the Institutions shall enter into an inter-institutional agreement.

4. General Copyright Policy

4.1. Each Institution's IP procedures shall provide for the disclosure, review, and evaluation of original works of authorship, and for the protection and commercialization of works in which copyright is owned by the Institution under this Policy. Copyrightable works that are also patent-eligible Inventions, such as software, shall be governed by the General IP Policy set forth in section 3.

- 4.2. An Institution shall own copyright in works prepared by its employees at the specific direction of the Institution.
- 4.3. An employee shall report such work in accordance with the General IP Policy set forth in section 3.
- 4.4. Net Royalties received by an Institution as a result of copyright ownership will be disbursed in accordance with the General IP Policy set forth in section 3.
- 4.5. Institution employees shall be entitled to own copyright in works that are prepared within the scope of employment but not at the specific direction of the Institution.
- 4.6. An Institution shall relinquish copyright ownership in any work that arises by operation of law and, if necessary, shall execute assignments conveying such copyright ownership to employees. As a condition of any such relinquishment or assignment, the Institution shall retain a perpetual, non-exclusive, worldwide and royalty-free license to use the work for teaching, educational, archival, and research purposes. This subsection shall not apply to companion works that enable, or are incidental to or necessary for the practice of, an Invention owned by the Institution under this Policy.
- 4.7. In the event an employee has made a Significant Use of Resources in the creation of a work governed by this subsection, an Institution may require the employee to reimburse the Institution for the value of such use.
- 4.8. Institution employees shall not use any work governed by this subsection, including textbooks and other course materials, either printed or electronic, in any manner that competes in a substantial way with the for-credit offerings of the Institution employer unless such use has received the approval of the chief academic officer of the Institution.
5. Trademark. Each Institution's IP procedures shall provide for the identification and protection of the trademarks and service marks of the Institution, provided that commercialization and licensing activities may be delegated by contract to one or more third parties.
6. Student IP.
 - 6.1. An Institution may not require an assignment of IP rights from a student unless at least one of the following applies:
 - The student received financial support from the Institution in the form of wages, salary, stipend, or grant funds for the research and/or activities that led to the development of the IP.
 - The Institution is contractually obligated to require such assignment.
 - The IP was developed with the Significant Use of Resources and the retention of such rights by the student would substantially impair a mission of the Institution.
 - The IP was a companion work that enabled, or was incidental to or necessary for the practice of an Invention owned by the Institution under this Policy.
 - The student expressly agreed to make such assignment.
 - The IP comprises marks and/or logos used or intended to be used solely or primarily by the Institution in conjunction with the Institution's offering of goods or services, including but not limited to the Institution's department of athletics.

6.2. An Institution may not require a license in IP from a student unless at least one of the following applies.

- The IP comprises copyright in a thesis, ~~or dissertation, or Master's paper.~~ Upon enrollment at North Dakota State University, a graduate student hereby grants a royalty-free perpetual license to the Institution for the reproduction and public distribution, including by electronic means, of copies of the student's thesis, paper, or dissertation. A student may request that such publication be delayed/embargoed for a period of time upon approval by the Graduate Dean. If the thesis, paper, or dissertation contains material for which the student does not hold copyright, it is the students' responsibility, prior to the submission of the document to the College of Graduate and Interdisciplinary Studies as a condition to a degree award, to have obtained the unrestricted permission of the copyright owner to grant the Institution the rights required by this license, and to clearly identify and acknowledge such third-party owned material within the text or content of the document.
- The IP arose from a multi-semester classroom project administered by an Institution employee, such as a senior design project, and the license is necessary for the Institution to continue administering the project.
- In the absence of such license, a mission of the Institution would be substantially impaired.
- The student has expressly agreed to grant such license.

6.3. In the event an assignment required by this section is made, the student making such assignment shall be treated as a Creator and shall be entitled to all of the rights and benefits of Creators under this Policy.

6.4. Licenses required by this section shall be non-exclusive, non-commercial, perpetual, and royalty-free, unless otherwise agreed to by the Institution so licensed.

6.5. Nothing in this section shall be construed to prevent a student from voluntarily entering into a relationship with an Institution concerning IP.

7. Other Provisions.

7.1. Foundations. An Institution may assign or transfer ownership rights in IP to a foundation defined in Board policy. Such assignment or transfer shall be in writing and signed by the president of the Institution or his or her designee. Institutions may require, as a condition of such assignment, periodic reporting as to the administration, marketing and commercialization of IP assigned pursuant to this subsection.

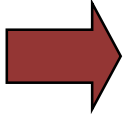
7.2. Employee Consulting/Developmental Leave. It is the responsibility of Institution employees to ensure that the terms of their consulting agreements with third-parties or the conditions of developmental leave do not conflict with this or any other Board or Institutional policy.

HISTORY:

New	May 2005 (New policy to reflect SBHE policy 611.2, incorporates NDSU policies 340, 341 and 342)
Amended	November 2010
Housekeeping	December 2010
Amended	November 11, 2015

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION: Policy 352 – Promotion, Tenure and Evaluation

Section 5.2 COMPOSITION OF PTE COMMITTEES

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).

- Is this a federal or state mandate? ☐ Yes ☒ No
- Describe change:

Requires that chairs of PTE committees undergo training prior to commencement of deliberations.

Excludes from the PTE review and recommendation process faculty members and administrators who are being considered for promotion.

2. This policy change was originated by (individual, office or committee/organization):
- Office/Department/Name and the date submitted: ad hoc Committee of the Faculty Senate for Review of Policy 352 – submitted 4-12-2016
 - Email address of the person who should be contacted with revisions: Alan.Denton@nds.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 352

PROMOTION, TENURE AND EVALUATION

SOURCE: NDSU President
NDSU Faculty Senate

1. INTRODUCTION

- 1.1 The promoting of faculty and awarding of tenure, and the prerequisite processes of evaluation and review, are of fundamental importance to the long-term ability of the University to carry out its mission. Promotion recognizes the quality of a faculty member's scholarship and contributions in the areas of teaching, research, and service. Promotion acknowledges that the faculty member's contribution to the university is of increasing value. Tenure assures academic freedom and enhances economic security for faculty members who show promise of sustained contributions in those three areas. Tenure aims to both recognize a candidate's potential long-term value to the institution as evidenced by professional performance and growth and to provide the expectation of continued employment. The decision to award tenure rests on criteria that reflect the potential long-term contribution of the faculty member to the purposes, priorities, and resources of the institution, unit, and program. With the individual autonomy derived from academic freedom and tenure comes the responsibility to create and/or maintain an ethical, respectful, and professional work climate for oneself, one's colleagues, one's students, and others with whom one relates professionally. Due to the emphasis on institutional purposes and priorities, tenure recommendations should be reviewed at department, college, and university levels.
- 1.2 From the University's mission flows the expectation that each faculty member will make contributions of high quality to the areas of teaching, research, and service. "Teaching" includes all forms of instruction both on- and off-campus. "Research" includes basic and applied research and other creative activities. "Service" includes public service, service to the University, college, and department, and service to the profession. Because of the University's mission, the quality and quantity of contributions in all three areas will be considered at the times of promotion and tenure. But, because of variations among faculty in strengths and/or responsibilities, faculty members are not expected to exhibit equal levels of accomplishment in all areas. Moreover, disciplines will vary with respect to the kinds of evidence produced in support of quality of contributions.
- 1.3 The policies and standards of each college should be congruent with the University's mission and its policies on promotion and tenure, and also should reflect the college's unique expectations of its faculty members. The policies and standards of academic units within each college should be consistent with the missions of the University and college and their policies on promotion and tenure, and also should designate evidence of how faculty in the academic unit meet the expectations of the college and University.

2. UNIVERSITY PROMOTION, TENURE, POST-TENURE, AND EVALUATION: CRITERIA AND EVIDENCE

- 2.1 Promotion and granting tenure are not automatic. In addition to contributions in the areas of teaching, research, and service, consideration may be given to factors such as professional background and experience.
- 2.2 The evaluation of a candidate's performance shall be based on the individual's contributions to teaching, research, and service, on- and off- campus, in regional, national, or international activities. Judgments will be based on evidence of both the quality and significance of the candidate's work.

2.2.1 TEACHING

2.2.1.1 CRITERIA In the areas of teaching (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review:

- 2.2.1.1.1 The effective delivery of instruction to and the stimulation of learning by students and/or clients;
- 2.2.1.1.2 the continuous improvement of courses or instructional programs;
- 2.2.1.1.3 the effective advising and mentoring of undergraduate and/or graduate students.

2.2.1.2 EVIDENCE A candidate demonstrates quality of teaching (encompassing both instruction and advising) by providing evidence and information from multiple sources such as:

- 2.2.1.2.1 the receipt of awards or special recognition including certification or licensing for teaching;
- 2.2.1.2.2 student, peer, and client evaluation of course materials, expertise, and ability to communicate knowledge;
- 2.2.1.2.3 peer evaluation of an individual's contribution to the improvement of instructional programs through the development and/or implementation of new courses, curricula or innovative teaching methods;
- 2.2.1.2.4 the dissemination of best practices in teaching;
- 2.2.1.2.5 evaluation by advisees of the quality of graduate and undergraduate advising.

2.2.2 RESEARCH

2.2.2.1 CRITERIA In the areas of research and creative activities (as defines above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review:

2.2.2.1.1 contributions to knowledge, either by discovery or application, resulting from the candidate's research, and/or

2.2.2.1.2 creative activities and productions that are related to the candidate's discipline.

2.2.2.2 EVIDENCE A candidate demonstrates quality of research by providing evidence of completed original work (i.e. published/in press, exhibited, or funded) from multiple sources such as:

2.2.2.2.1 presentation of scholarly or professional papers, and publication of books or articles;

2.2.2.2.2 juried or invited presentations or productions in the theater, music, or visual arts, design, and architecture;

2.2.2.2.3 the development and public release of new products or varieties, research techniques, copyrights, and patents or other intellectual property ;

2.2.2.2.4 peer evaluation of research by colleagues from an individual's discipline or area of expertise;

2.2.2.2.5 the receipt of awards or special recognition for research ;

2.2.2.2.6 the receipt of grants or other competitive awards.

2.2.3 SERVICE

2.2.3.1 CRITERIA In the areas of service (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure and post-tenure review:

2.2.3.1.1 contributions to the welfare of the department, college, university, or profession, and/or

2.2.3.1.2 contributions to the public that make use of the faculty member's academic or professional expertise.

2.2.3.2 EVIDENCE A candidate demonstrates quality of service by providing evidence and information from multiple sources such as:

2.2.3.2.1 the receipt of awards or special recognition for service;

2.2.3.2.2 evaluation of an individual's service contributions by peers, administrators, and constituents;

2.2.3.2.3 active participation in and leadership of societies which have as their primary objective the furtherance of scholarly or professional interests or achievements;

- 2.2.3.2.4. active participation and leadership in University governance and programs at the department, college, university and system levels;
- 2.2.3.2.5. effective management or improvement of administrative procedures or programs.
- 2.2.3.2.6 contributions to knowledge as editors of scholarly publications, or service on editorial boards, juries, or panels;
- 2.2.3.2.7 contributions to the operation of state or federal agencies.

2.3 The foregoing lists are not exhaustive, and other forms of information and evidence might be produced in support of the quality and significance of the candidate's work. The mission statements and specific promotion and tenure criteria of the individual academic units are important in defining the appropriate forms of evidence in the context of the candidate's discipline and distribution of responsibilities.

3. COLLEGE AND DEPARTMENTAL PROMOTION, TENURE, POST-TENURE, AND EVALUATION CRITERIA

- 3.1. Each academic unit is responsible for refining the University promotion, tenure, post-tenure, and evaluation criteria and applying those criteria within the special context of the unit. Thus, each academic unit will develop specific promotion, tenure, post-tenure, and evaluation criteria and designate the types of evidence to be used for evaluation of progress toward tenure, for renewal, promotion, and tenure decisions, and for post-tenure review. Within the framework of the University's promotion and tenure criteria, each academic unit shall specify the relative emphasis on teaching, research, and service, and the extent to which a faculty member's assigned responsibilities can be allocated among teaching, research, and service.
- 3.2. A statement of promotion, tenure, post-tenure, and evaluation criteria specific to each college shall be developed by the Promotion, Tenure, and Evaluation (PTE) committee of the college in consultation with the Dean and approved by the faculty of the college. The faculty of each department shall also develop a statement of criteria for promotion, tenure, post-tenure, and evaluation that shall be reviewed and approved by the college PTE committee and the Dean to assure consistency with the college promotion, tenure, post-tenure, and evaluation criteria. The college and departmental statements, and any subsequent changes, shall be reviewed and approved by the Provost assure consistency with University and State Board of Higher Education (SBHE) policies.
- 3.3. For probationary faculty, the basis for review of the candidate's portfolio and any recommendations on promotion and/or tenure shall be the promotion and tenure guidelines and criteria of the academic unit which were provided to the candidate at the time of the candidate's appointment to the position. The dean or director of the college or equivalent unit has the responsibility to provide to the appointee these documents, as well as a position description, contract, or other document that constitutes a tenure or work plan.

Tenured candidates for promotion to professor shall be evaluated by the criteria in effect at the time of application.

3.4. Faculty Hired Without Previous, Relevant Experience

For a faculty member without previous academic-relevant experience, eligibility for tenure requires a probationary period of six years. Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently. However, exceptional academic accomplishments may warrant early promotion prior to the completion of the six years of the probationary period. Petitions for early promotion shall be initiated by department heads/chairs, and not by faculty members themselves.

3.5 Faculty Hired with Previous Relevant Experience

3.5.1 Individuals hired into a tenure-eligible position at a negotiable faculty rank may be hired with tenure and at a rank of Associate Professor or Professor when this is negotiated as a provision of the original contract. Decisions regarding tenure and advanced rank are made using the same process and standards as in the customary promotion and tenure process, although the timeline may be altered. The recommendation proceeds through the regular channels, including the respective Department and College PTE Committees, the Department Chair/Head, College Dean, Provost and President, prior to hire. The process of review is initiated by the Chair/Head of the unit in which the tenure line is housed.

3.5.2 A probationary faculty member with relevant professional/academic experience may be given credit toward tenure and promotion when this is negotiated as a provision in the original contract. The Department PTE Committee recommends to the Department Chair/Head the maximum (from one to three) years of tenure credit offered.

There are two options:

- 3.5.2.1 Faculty may be hired with one to three years of tenure credit. For each year of tenure credit awarded, one year shall be subtracted from the tenure application deadline. For example, given one year of credit, promotion and tenure application would be due in the fifth year of service; given three years, the application would be due in the third year of service. Faculty accomplishments during the tenure credited years are included as accomplishments in the faculty member's promotion and tenure portfolio. Requirements for promotion and tenure shall be adjusted according to the years at NDSU to maintain productivity at the same rate as that expected for promotion and tenure without tenure credit; for example, if six quality publications are required in the six-year probationary period for promotion and tenure, then one quality publication shall be required for each year the faculty member is at NDSU.
- 3.5.2.2 Faculty may be allowed the full six-year probationary period with the option of applying for promotion and/or tenure at any time following three years of academic service. How prior work is considered must be specified in the appointment letter.

3.5.2.3 For either option, failure to achieve tenure will lead to a terminal year contract. 3.6 Extensions to Probationary Period, apply in all other cases.

3.5.3 Any exceptions to Section 3.5 must be approved by the President.

3.6 Extension of Probationary Period

At any time during the probationary period but prior to the sixth year (or prior to the year in which the portfolio is due), a faculty member may request an extension of the probationary period not to exceed a total of three years based on institutional, personal or family (pertaining to a child, spouse/partner or parent, as described in NDSU Policy 320) circumstances, personal illness or disability, which, according to reasonable expectations, impede satisfactory progress towards promotion and tenure. Faculty given promotion and tenure credit are also eligible for this extension. Faculty members are encouraged to request probationary period extension as soon as they recognize the need for extension. Written notification to the Provost must be submitted within one year of the beginning of the event for which the extension is requested and approved prior to July 1 of the year in which the tenure/promotion portfolio is due. A faculty member who submits an extension request during the academic year in which they are to undergo third year review must successfully undergo third-year review and renewal before any extension can take effect. The request must be in writing and will be submitted to the Provost who will review the request and will approve or deny the request. Denial of an extension may be appealed under NDSU Policy 350.4, however, appeals will not be granted for requests that are submitted outside the required timeline for extension.

3.6.1 Extension of Probationary Period for Childbirth or Adoption

A probationary faculty member who becomes the parent of a child (or children in case of twins, triplets, etc.) by birth or adoption, prior to the year in which the portfolio is due, will automatically be granted a one-year extension of the probationary period upon written notification to the Provost. While NDSU supports the use of the extension, the probationary faculty member has the option at any time after the birth or adoption to return to the original schedule of review. Any additional extensions beyond the one year (per birth/adoption occurrence, not to exceed three years total extension) must be requested under the provisions of 3.6 above.

3.6.2 Extension of Probationary Period for Personal Illness or Disability

A probationary faculty member who experiences a personal illness or disability may request an extension of his/her probationary appointment. Medical documentation of the personal illness or disability is required. Such documentation shall be collected and housed by the Office of Human Resources/Payroll following guidelines provided in NDSU Policy 168. However, the Office of Human Resources/Payroll shall not make recommendations to the Provost pertaining to probationary period extension requests. The faculty member will grant the Provost access to Human Resources records relevant to the request. The Provost shall maintain strict confidentiality of such documentation. Written notification of the request for an extension, along with supporting documentation, must be provided to the Provost.

3.6.3 Extension of Probationary Period for Institutional Circumstances

A probationary faculty member may be granted an extension of probationary period due to institutional circumstances, such as major disruption of work or faculty's ability to perform their duties beyond the reasonable control (e.g., natural or human-caused disaster, or lab-space unavailability) of the faculty member. Written notification of the request, along with supporting documentation, for an extension must be provided to the Provost.

3.6.4 Procedures for Initiating, Reviewing, and Approving Notifications/Requests for Extension of the Probationary Period

- 3.6.4.1 Notification of extension of the probationary period due to childbirth or adoption may be initiated by the faculty member, the Department Chair/Head, or the Dean of the college.
- 3.6.4.2 Request for extension of the probationary period due to personal or family circumstances, personal illness or disability shall be initiated by the faculty member. In the case of requests involving disability or illness, it is the responsibility of the faculty member to provide appropriate documentation to adequately demonstrate why the request should be granted.
- 3.6.4.3 Request for extension of the probationary period due to institutional circumstances may be initiated by the faculty member, the Department Chair/Head, or the Dean of the college.
- 3.6.4.4 Faculty members may inform their Department Chair/Head and/or Dean of the college of their request if they wish to do so, but they are not required to do so.
- 3.6.4.5 Extension of the probationary period requests shall be submitted to the Provost using the Request for Probationary Period Extension form.
- 3.6.4.6 Once an extension of the probationary period request is approved, the faculty member, Department Chair/Head, and the Dean of the college will be notified in writing by the Provost. If the request is denied, the faculty member will be notified in writing by the Provost.

3.6.5 Confidentiality

Individuals involved in the extension of the probationary period process (which may include the supervisor, the Department Chair/Head, the Dean of the college, the Provost, and/or the Office of Human Resources/Payroll) have the responsibility of keeping information pertaining to the request confidential and not sharing such information with individuals not involved in the process. Medical documentation provided by a faculty member requesting extension of the probationary period shall be maintained in a confidential file separate from the employee's official personnel file in the Office of Human Resources/Payroll. Other written documentation and forms pertaining to the request/notification of extension of the probationary period shall be maintained in a confidential file separate from the employee's official personnel file in the Office of the Provost. It is understood that some information provided pursuant to this policy may be subject to disclosure pursuant to North Dakota open records laws.

- 3.6.6 Granting of an extension does not increase expectations for performance. For instance if the department requires at least five refereed journal articles in the standard six year probationary period, and a faculty member receives an extension of the probationary period, then the department will still only require at least five refereed journal articles for that faculty member's probationary period.

Related Policies and Procedures:

Policy 156. Equal Opportunity Grievance Procedures
(<http://www.ndsu.edu/fileadmin/policy/156.pdf>)

Policy 168. Reasonable accommodation on the basis of disability - guidelines for employee requests (<http://www.ndsu.edu/fileadmin/policy/168.pdf>)

Policy 320. Faculty obligations and time requirements
(<http://www.ndsu.edu/fileadmin/policy/320.pdf>).

- 3.7 Each academic unit shall establish the criteria for promotion and tenure, including early promotion, as part of its statement on promotion, tenure, post-tenure review, and evaluation.

4. PERIODIC REVIEW

- 4.1 Periodic reviews of faculty serve multiple functions. The reviews assist faculty members in assessing their professional performance, assist the administration in delineating areas to which particular effort should be directed to aid in improving the professional achievement of the faculty members, and contribute to the cumulative base upon which decisions about renewal, promotion, and tenure are made. In addition, periodic reviews may result in changes in responsibilities, modified expectations, and/or altered goals for performance.
- 4.2 The procedures for periodic review that are developed by each academic unit shall be reviewed and approved by the college PTE committee and the Dean.
- 4.3 All full-time faculty will be reviewed annually. Unless college or department procedures provide otherwise, annual reviews of non-tenured faculty shall be conducted so that decisions and notifications can be made in accord with the deadlines listed in Section 350.3.
- 4.4 Probationary faculty hired into tenure-track positions must receive special review during their third year of service to the institution. This third-year review shall recognize and reinforce areas of strength as well as point out areas of weakness that could jeopardize the case for promotion and tenure. Specific formative evaluations shall be provided to help candidates prepare their strongest case for promotion and tenure. Any extension granted prior to the third year review will delay the review by an equal period.
- 4.5 Unless college or department procedures provide otherwise, the department chair or head of the academic unit will be responsible for the conduct of the reviews and the communication of their results. Periodic reviews shall result in a written report to the faculty member being reviewed. The report shall state expectations and goals for the coming review period. For probationary faculty, the report shall include an assessment of the faculty

member's progress toward tenure and recommendations for improvement. Should the periodic reviews indicate that a faculty member is not making satisfactory progress toward tenure, the report may include a recommendation for nonrenewal. In making a judgment on satisfactory progress toward tenure, due consideration shall be given to the candidate's academic record, performance of assigned responsibilities, and potential to meet the criteria for promotion and tenure at the end of the probationary period.

- 4.6 Colleges and departments shall develop specific post-tenure review policies appropriate to their faculty. Annual reviews of tenured faculty shall include an evaluation of the faculty member's performance relative to the current position description. For Associate Professors, annual reviews must include specific recommendations to strengthen the case for promotion. Annual reviews of Professors must recognize and reinforce areas of strength, as well as discuss areas of weakness and recommend improvements. Should the annual reviews indicate that performance of a faculty member is unsatisfactory under the standards for post-tenure review, the report shall include a recommendation for appropriate remedial action.
- 4.7 The faculty member being reviewed shall have 14 days to respond in writing to the written report if the faculty member wishes to do so. The written report, and any written response from the faculty member, shall become part of the faculty member's official personnel file.

5. COMPOSITION OF PTE COMMITTEES

- 5.1 Each college shall have a PTE Committee consisting of at least three faculty members elected by the faculty of the college. The college PTE committee shall be as reflective as possible of the college's breadth of disciplines and fields of expertise. Ordinarily, at least three departments or sub-units of a college will be represented on the committee, and usually no more than one member of the same department may serve on the committee at one time.
- 5.2 Only tenured faculty members who have completed three years of full-time appointment with the University and who have attained the rank of associate professor or above are eligible for election to a college or department PTE Committee. Prior to commencement of deliberations, the chair of any PTE committee must have received PTE committee training within the last three years, provided through the Office of the Provost. Faculty members and administrators being considered for promotion may not ~~serve~~ be involved in any candidate review and recommendation process, including the selection of external reviewers, while under consideration.
- 5.3 The department and college PTE committees' reviews and recommendations are part of a process of peer review. Thus, faculty holding academic administrative appointments, including those with interim status, are not eligible to serve. ("Academic administrative appointment" includes appointments as President, Provost, Vice President or Provost, Associate or Assistant Vice President or Provost, Dean, Associate or Assistant Dean, Department Chair or Head, Associate, Assistant or Vice Chair or Head, and any other administrators who supervise and/or evaluate other faculty.) Center or Program Directors who do not supervise and/or evaluate other faculty are eligible to serve.
- 5.4 A college PTE committee member who has voted on the promotion/tenure of a candidate in the department PTE committee shall be recused from the vote by the college PTE

committee. In such a case, college policy shall determine whether the committee member may or may not deliberate with the committee on the candidate.

- 5.5 Faculty members, including administrators, who participate in the PTE process shall be recused from deliberations and decisions regarding a candidate if there is a past or current relationship that compromises, or could have the appearance of compromising, a faculty member's judgment with regard to the candidate. The following list, while not exhaustive, illustrates the types of relationships that constitute a conflict of interest:
- A family relationship
 - A marital, life partner or dating/romantic/intimate relationship
 - An advising relationship (e.g., the faculty member having served as the candidate's PhD or postdoctoral advisor)
 - A direct financial interest and/or relationship
 - Any other relationship that would prevent a sound, unbiased decision

Recusal due to a conflict of interest with one candidate does not prevent a faculty member from participating in deliberations and decisions regarding other candidates.

6. PTE PROCEDURES

- 6.1 The candidate shall ensure that the electronically submitted portfolio is current, accurate and complete for review at the department level using procedures consistent with department and college policies. The chair or head shall forward the electronic portfolio together with the department's recommendations, and an explanation of the basis for them, to the College Dean and the College's PTE Committee no later than November 1.
- 6.2 After November 1, the information that may be added to the portfolio is limited to
- a) Recommendations by the evaluating units considering the portfolio at that time;
 - b) the candidate's response to those recommendations;
 - c) any materials requested by the evaluators.
- 6.2.1 Candidates may petition the college Dean and PTE committee to add additional materials after the deadline. The Dean and PTE committee must both agree to the addition in order for additional material to be added.
- 6.2.2 Any additional materials added to the portfolio must pertain to information or material already in the portfolio, such as pending publications or grant proposals.
- 6.3 Unsolicited individual faculty input is limited to the department level of review.
- 6.4 Recommendations and any other materials collected as part of the evaluation process at the department, college, and university levels must be added to the candidate's portfolio before being sent forward to the next level of review. At the time that any written materials are added to the candidate's portfolio, copies of the added material must be sent to the candidate for review. The candidate shall have 14 calendar days to respond in writing to the additional materials. Any response from the candidate to such materials must be in writing and must be included in the portfolio for review at the next level.
- 6.5 Allegations of misconduct discovered after November 1 that could be detrimental to a candidate's case (e.g. academic misconduct) shall be handled through the appropriate University policy and mechanisms. In such cases, the PTE process will be suspended until

the allegations are resolved. Once the PTE process resumes, the candidate may update the portfolio.

- 6.6 Colleges and departments shall document that they have followed all procedures; e.g., by a comprehensive checklist of the steps in the PTE process. The documentation must be included in the portfolio.
- 6.7 The College PTE Committee and the College Dean shall separately and independently review and evaluate the candidate's portfolio without discussion or communication.
- 6.8 The college PTE Committee shall prepare a written report, including recommendations and an explanation of the basis for them, that shall be included in the candidate's portfolio. The report and recommendations shall be submitted to the Provost by January 5. A copy shall be sent to the Dean, the chair or head of the academic unit, and the candidate.
- 6.9 The College Dean shall also prepare a separate written report, including recommendations and an explanation of the basis for them that shall be included in the candidate's portfolio. The Dean shall forward the report and recommendations, and the portfolio of the candidate, to the Provost by January 5. A copy of the Dean's report shall be sent to the College PTE committee, the chair or head of the academic unit, and the candidate.
- 6.10 The Provost shall review the candidate's materials and the recommendations of the Department, College PTE Committee, and College Dean, and shall solicit input from a nonvoting advisory committee consisting of a faculty representative from each College PTE Committee, selected by the Provost with attention to diversity. The Provost shall submit a recommendation to the President in writing, including an explanation of the basis for it, by the deadline established in the PTE guidelines. Copies of the Provost's written recommendation shall be sent to the candidate, the Department Chair/Head, the College Dean, and the Department and College PTE Committees.
- 6.11 When appropriate, the President shall then make the final recommendation to the SBHE for tenure. When appropriate, the President shall notify the candidate of promotion or denial of promotion.
- 6.12 In the case of joint appointments, the primary responsibility for the review rests with the department and the college that hold the majority or plurality of the appointments. Such department or college shall solicit input from the other units holding the remainder of the appointment as appropriate to the allocation of effort. This input from other units which shall be included in the portfolio.
- 6.13 When evaluating faculty participating in interdisciplinary programs, the primary department may solicit input from the director of the interdisciplinary program as appropriate to the allocation of effort.

7. APPEALS

- 7.1. Appeals of periodic reviews are made by requesting a reconsideration by the evaluating party. If not satisfied, the faculty member may initiate the grievance process pursuant to Section 353.

7.2. Appeals of nonrenewal and nonpromotion decisions shall be pursuant to Policy 350.3.

8. DOCUMENT RETENTION

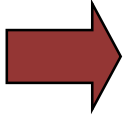
Electronic copies of portfolios shall be maintained by the appropriate college for the length of time specified by the university records management policy. Disposal of these documents, as well as filing of archival copies, will also conform to the university records management policy.

HISTORY:

Amended	May 13, 1974
Amended	February 10, 1975
Amended	December 12, 1988
Amended	May 14, 1990
Amended	April 1992
Amended	December 12, 1994 (Effective date July 1, 1995)
Amended	June 1997
Amended	November 2000
Amended	October 2001
Amended	October 2007
Amended	July 2008
Housekeeping	February 14, 2011
Amended	October 11, 2011
Amended	June 19, 2014
Amended	October 19, 2015
Amended	January 27, 2016
Amended	April 11, 2016

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: Policy 801 Grant and Contract Administration – General Provisions

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
 - Is this a federal or state mandate? ☐ Yes ☒ No
 - Describe change: Policy has been updated to provide clarification on changes for administration requirements of the proposal and award activities. Also, some activities have been shifted to the Research and Creative Activity Business Development unit, and those changes are included.
2. This policy change was originated by (individual, office or committee/organization):
 - Research and Creative Activity/Sponsored Programs
 - Val.kettner@ndsu.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 801

GRANT AND CONTRACT ADMINISTRATION - GENERAL PROVISIONS

SOURCE: NDSU President

1. PROPOSALS.

1.1 All proposals submitted to external ~~sponsoring~~ agencies must be reviewed and approved by the responsible Department Head(s)/Chair(s), Center Director(s), the College Dean(s), and Sponsored Programs Administration (SPA) (as a designee of the Vice President for Research and Creative Activity) PRIOR to the submission of the proposals to sponsoring agencies. Such approval is required even when an institutional signature is not required by the sponsor. A pre-proposal or letter-of-intent must be routed for review and approval if the signature of an authorized institutional official is required, or if a detailed budget or cost share is required or included. In cases where equipment match funds are required, the Vice President for Research and Creative Activity's (or designee's) approval is also required.

1.2 A Proposal Transmittal Form (PTF) is required for each proposal submitted for review. The PTF and instructions are located on the SPA website: http://www.ndsu.edu/research/sponsored_programs_admin/forms/. A completed PTF, proposal cover page, abstract, detailed budget on sponsor budget template (if available, or on SPA generic budget template if no sponsor template is required) and budget justification with complete detail as to why each item is necessary must be received in SPA at least 5 business days before the sponsoring agency submission deadline in order to guarantee timely review and approval or submission by SPA. Proposals must be received no later than 9:00 a.m. to count as the first day in the 5 business days. University published business hours will control the cut-off times for submission, not sponsor established times that exceed university hours..

~~1.~~

1.31 The completed proposal and PTF must be ~~routed submitted to through~~ all necessary parties involved in ~~responsible for any aspect of the proposal approval process~~. Necessary parties are determined based on each proposals' requirements (review, central equipment match, space, etc.) Each office may require modifications to a proposal before the routing can continue. Proposals must meet the criteria of each review stage in the process BEFORE submission to a sponsoring agency.-

1.3.1 The Head/Chair, Director and Dean are responsible for reviewing and approving the proposal for:

- consistency with the department, center and college mission;
- availability and commitment of department, center and college support services and resources, including faculty and staff committed efforttime, space, and finances and equipment; and
- assurance that the department, center and college obligations as defined in the proposal can and will be met; and-

- appropriate management and oversight, if necessary, of any conflicts of interest for their faculty participating in the proposed project.

1.3.2 Sponsored Programs Administration, as designated by the Vice President for Research and Creative Activity, acts on behalf of the President and is responsible for reviewing and approving the proposal for:

- reviews the proposal for consistency with the institutional mission and policies,
- compliance with public or private agency policies and regulations, and
- compliance with applicable federal, state and local laws and regulations. Each office may require modifications to the proposal. Proposals must meet the criteria of each review process BEFORE submission to a sponsoring agency.

1.3.3 The Vice President for Research and Creative Activity, or designee, is responsible for approving the use of and obligating central equipment match funds. Priority for use of these funds will be given to proposals that are interdisciplinary or that involve the acquisition of equipment for the enhancement of centralized research lab infrastructure. A request for equipment match funds must be made in writing to the Vice President for Research and Creative Activity at least three weeks prior to the due date of the proposal and after the appropriate approvals are received by the pertinent departments and colleges contributing remaining cash match. Requests for consideration can be made for up to 1/3 of the required cash match.

1.3.4 The Vice President for Finance and Administration must approve, prior to submission, any proposal requiring additional space, renovations, remodeling, and/or relocation of offices or labs. Any proposals requesting renovations or remodeling of space in the Research 1, Research 1A and/or Research 2 facilities, or relocation to those facilities, must also be approved by the Vice President for Research and Creative Activity.

1.3.5 The Vice President for Information Technology, or designee, must approve, prior to submission, any proposal affecting or requiring significant information technology services, as defined at <http://www.ndsu.edu/it/research/prep/>.

1.2 A Proposal Transmittal Form is required for each proposal submitted for review. Proposal Transmittal Forms may be obtained from Sponsored Programs Administration.

1.43 Sponsored Programs Administration, requires a minimum of 72 hours to process a proposal. If time is a problem, the entire proposal need not be submitted. A completed Proposal Transmittal Form, the proposal cover page, an abstract, and the budget page may be sufficient for final approval. Following final review by Sponsored Programs Administration (as a designee of the Vice President for Research and Creative Activity), the principal investigator will be ~~contacted~~ called and informed of university approval or of the need for revision(s). Grant and contract proposals requiring additional space, renovations, remodeling, and/or relocations must be approved by the Vice President for Research and Creative Activity and the Vice President for Finance and Administration prior to submission.

2. AWARDS.

2.1 All contracts, grants and agreements must be reviewed by Sponsored Programs Administration prior to their execution. Research and Creative Activity's Business Development unit is responsible for negotiating all terms of private industry awards, and Sponsored Programs Administration is

responsible for negotiating all terms of ~~the~~ all other agreements, including federal flow-through.
Business Development and SPA are authorized signatories for NDSU.

2. 2.2 Work may not take place and expenses may not be incurred on a pending award unless an advanced account number is requested and established. Advanced account numbers are issued only after department, center, or college assumption of responsibility, in writing, in the event an award is not successfully executed. SPA will not negotiate or sign an award where the award document is initiated after the work is already completed.
3. All correspondence between the Principal Investigator and the sponsoring agency Program Officer must be limited to technical questions. All correspondence between the Principal Investigator and with the external sponsoring agency Contracting Officer, that is unrelated to the scientific/technical effort terms of the award, must be initiated by shall be copied to Sponsored Programs Administration, or in the case of questions concerning allowable costs by Grant & Contract Accounting., Any request to change award terms, including no-cost time extensions, budget modifications, or changes in scope of work, must be initiated by Sponsored Programs Administration is responsible for requesting approval from the awarding agency to change any agreement terms. For private industry awards, requests are initiated through SPA and then forwarded to Business Development by SPA for appropriate action(s).
4. Sponsored Programs Administration NDSU reserves the right to renegotiate, withdraw or reject any proposal or agreement that which has not been reviewed and approved through the proper channels and signed by the appropriate authorized institutional representatives.
- 4.
5. All financial reports required by the external agencies will be prepared by Grant and Contract Accounting. The Principal Investigator will be contacted if assistance is needed in completing the reports.
6. All checks relating to sponsored agreements should be sent to:

Grant and Contract Accounting
North Dakota State University
NDSU Dept. 3130
PO Box 6050
Fargo, ND 58108-6050

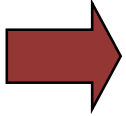
If a check is mistakenly sent to a department instead of Grant and Contract Accounting, the check should be delivered as soon as possible to Grant and Contract Accounting for deposit. All information received with the check should be attached. The Customer Account Services Office will not deposit a check into a grant or contract account (Funds 40000-49999) without the approval of Grant and Contract Accounting.

HISTORY:

New	July 1990
Amended	April 1992
Amended	June 1996
Amended	March 2002
Amended	August 2007
Amended	October 2009
Housekeeping	February 14, 2011
Housekeeping	March 16, 2015

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION: **Policy 813 Facilities and Administrative Costs**

1. **Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).**
 - Is this a federal or state mandate? ☐ Yes ☒ No
 - Describe change: Numerous changes requested to accommodate the removal of CNSE from the policy, as that unit no longer exists in its previous format, and also to account for the change in F&A Rate Agreement. Rather than including the rate table, a link is provided to the Rate Agreement on SPA's website, so that the Policy doesn't require updating when the rates are renegotiated. Also, changes are providing clarification on definitions of categories and guidance on use of various rates. Finally, changes provide clarity on approvals required for use of off-campus rate.
 -
2. **This policy change was originated by (individual, office or committee/organization):**
 - Research and Creative Activity/Sponsored Programs and Finance & Administration/Grant & Contract Accounting
 - Val.kettner@nds.edu and/or ann.young@nds.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. **This policy has been reviewed/passed by the following (include dates of official action):**

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the **content** has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

North Dakota State University

Policy Manual

SECTION 813

INDIRECT COSTS (aka FACILITIES AND ADMINISTRATIVE COSTS)

SOURCE: NDSU President

1. The University has established indirect cost rates with the cognizant federal audit agency. The rate charged to a sponsored agreement depends upon the function of the work performed. Before deciding which rate applies to each program, carefully review the definitions of research, instruction, and other sponsored activity as defined below.
 - 1.1 ORGANIZED RESEARCH. Organized Research means the critical and exhaustive investigation or experimentation having for its aim the discovery of new facts and their correct interpretation; the revision of accepted conclusions, theories, or laws, in light of newly discovered facts; or the practical applications of such new or revised conclusions. This category includes all activities specifically organized to produce research outcomes, whether commissioned by an external agency or separately budgeted by the institution. It also includes activities involving the training of individuals in research techniques.
 - ~~1.2 ORGANIZED RESEARCH CNSE. This category is for organized research to be carried out at the NDSU Center for Nanoscale Science and Engineering.~~
 - 1.23 INSTRUCTION. Instruction means the teaching and training activities of an institution. Except for research training, this term includes all teaching and training activities, whether they are offered for credits toward a degree or certificate or on a non-credit basis, and whether they are offered through a regular academic session, summer school division, an extension division, or a continuing education division.
 - 1.34 OTHER SPONSORED ACTIVITY. Other sponsored activities mean programs and projects financed by federal and non-federal agencies and organizations which involve the performance of work other than instruction and organized research. Examples of such programs and projects are health service projects, and community service programs.
2. The current approved indirect cost rates can be found in the Colleges and Universities Rate Agreement found on Sponsored Programs Administration's (SPA) website under the "Forms" section at: https://www.ndsu.edu/research/sponsored_programs_admin/forms/. are as follows:

FROM	TO	RATE	LOCATIONS	APPLICABLE TO
7/1/10	6/30/11	43.50%	On-campus	Organized Research
7/1/11	6/30/13	44.50%	On-campus	Organized Research
7/1/13	6/30/14	45.00%	On-campus	Organized Research

7/1/10	6/30/14	26.0%	Off campus	Organized Research
7/1/10	6/30/14	35%	On-campus	OR CNSE
7/1/10	6/30/14	19.30%	Off campus	OR CNSE
7/1/10	6/30/14	53.20%	On-campus	Instruction
7/1/10	6/30/14	26.00%	Off campus	Instruction
7/1/10	6/30/14	38.10%	On-campus	Other Sponsored Activity
7/1/10	6/30/14	20.30%	Off campus	Other Sponsored Activity

Indirect cost is calculated as follows:

Indirect Cost = Modified Total Direct Cost x Rate from the Rate Agreement referenced above table.

Modified ~~t~~Total ~~d~~Direct ~~c~~Cost (MTDC) consists of all direct salaries and wages, applicable fringe benefits, materials, and supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract subaward (regardless of the period of performance covered by the subgrant or subcontract of the subawards under the award).

Modified ~~t~~Total ~~d~~Direct ~~c~~Costs shall exclude equipment, capital expenditures, charges for patient care, rental costs, student tuition remission (student), rental costs of off site facilities, scholarships, and fellowships, participant support costs, and as well as the portion of each subgrant and subcontract subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs and with the approval of the cognizant agency for indirect costs.

Definition of Equipment: Equipment is defines as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Definition of Off-Campus: A project is considered off-campus if the activity is conducted at locations other than in University owned or operated facilities and indirect costs associated with physical plant and library are not considered applicable to the project. Use of the off-campus rate must be approved prior to inclusion in a proposal. A request must be submitted to SPA justifying the reason for the off-campus rate. This request must be submitted at least two weeks prior to the due date of the proposal. SPA will make a determination whether the off-campus rate is approved for use.

Treatment of Fringe Benefits: This organization charges the actual cost of each fringe benefit direct to Federal projects. However, it uses a fringe benefit rate which is applied to the salaries and wages in budgeting fringe benefit costs under project proposals. The following fringe benefits are treated as direct costs: FICA, SUI, WORKERS COMPENSATION, RETIREMENT PLAN, AND HEALTH/LIFE/DISABILITY INSURANCE.

Treatment of Paid Absences: Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

3. In most cases the activities of the University will be considered to be on-campus activities. Off-campus rates for indirect cost will be used only if the project will be conducted in a remote location for an extended period of time. A project that would qualify for off campus rates would be one that would not be using University facilities for any of the work performed. Some examples of departments that would be off-campus are Agronomy Seed Farm (Casselton), Forest Service (Bottineau), Research Centers (Carrington, Central Grasslands, Dickinson, Hettinger, Langdon, North Central and Williston) (this list is not all inclusive). If the project is split among departments – the on-campus/off-campus rate should be determined by where 50% or more of the work is being performed. However, use of the off-campus rate must have SPA's approval.
4. If the indirect cost rate assigned to a particular project is scheduled to change during the life of the project, the indirect cost rate should remain at the rate of the initially funded budget period.
5. Unless specifically prohibited or limited by the sSponsoring aAgency, the inclusion of indirect costs at the appropriate current federally negotiated rate is required in every grant and contract budget. If a sponsoring agency restricts recovery of indirect costs to a percentage that is less than the appropriate current federally negotiated rate, the Principal Investigator must provide to SPA a copy of the sponsoring agency's guidelines or published policy reflecting the indirect cost limitation. No exceptions for reduced indirect costs will be made for research sponsored by for-profit entities (i.e. companies) unless there is a clear, established policy that is publically posted on the entity's website (and that applies universally to all proposals). If an awardproposal is receivedsubmitted without the inclusion of indirect cost, SPAthe Office of Sponsored Programs Administration reserves the right to will renegotiate the awardagreement for the inclusion of indirect cost, either by an increase in the award amount or by reallocating the award amount to cover both direct and indirect costs.
6. **INDIRECT COST ALLOCATIONS.** In order to provide an additional incentive for faculty and staff participation in sponsored activities at NDSU, it is the University's policy to directly support such activity with a portion of the indirect cost payments received by the University under all sponsored agreements.

Of the indirect costs drawn, 42.0% will be allocated back to the generating colleges or units; 16% will be allocated back to the Office of the President (for Research); and 42.0% to the Office of the President. Allocation exceptions must be approved by the President.

HISTORY:

New	July 1990
Amended	April 1992
Amended	December 1996
Amended	August 1997
Amended	January 2000
Amended	October 2004
Amended	August 2007
Amended	February 16, 2011
Housekeeping	July 12, 2013