Criterion One: MISSION AND INTEGRITY

The organization operates with integrity to ensure the fulfillment of its mission through structures and processes that involve the board, administration, faculty, staff, and students.

Overview

The University of Iowa is a large, highly decentralized institution, with responsibilities to serve many constituencies. The Board of Regents, the University’s central administration, and the leaders of the major organizational units understand that it is in the classrooms, laboratories, studios, clinics, libraries, distance learning sites, and other places where faculty, staff, students, and citizens come together that we truly carry out the University’s mission every day. Many University-, college-, and department-level structures are in place, therefore, to ensure that all members of the University community can carry out their individual responsibilities in ways that support the University’s and the Board’s strategic priorities; that they recognize those priorities, and have the opportunity to have a voice in decisions about how the University will pursue them; and that they can expect those around them to treat them with respect and to function with integrity.

Core Component 1a: The organization’s mission documents are clear and articulate publicly the organization’s commitments.
Mission Statement

_The Iowa Promise_, The University of Iowa’s strategic plan for 2005 to 2010, was approved by the Board of Regents, State of Iowa, in June 2005 and articulates the University’s mission, aspiration, core values, and goals.

The University’s mission statement, presented in full in the box on this page, addresses the University’s threefold commitment to creating, preserving, and disseminating knowledge through teaching, research, and public service. It acknowledges the University’s concurrent obligations to undergraduate, graduate, and professional students; to the people of Iowa; and, in broad terms, to all people in the nation and in the world whose lives may benefit from the work we do here.

Mission Statement

Upon founding The University of Iowa in 1847, Iowa’s first legislature entrusted it with a threefold mission of teaching, research, and public service. In pursuing that mission today, the University seeks to advance scholarly and creative endeavor through leading-edge research and artistic production; to use this research and creativity to enhance undergraduate, graduate, and professional education, health care, and other services provided to the people of Iowa, the nation, and the world; and to educate students for success and personal fulfillment in an increasingly diverse and global environment.

_The Iowa Promise: The University of Iowa Strategic Plan, 2005–2010_

“top ten” aspiration was originally articulated in our first strategic plan, _Achieving Distinction_ (1990).

The theme of striving for excellence is evident throughout _The Iowa Promise_. “Excellence” is, in fact, one of our seven core values (Excellence, Learning, Community, Diversity, Integrity, Respect, and Responsibility), placed first on the list because it applies to all the rest. Our statement of core values includes this commitment:

In all that it does, the University measures itself by exacting standards, promotes continuous improvement, honors excellence and high aspiration, and holds its community as a whole to the highest degree of honesty, fairness, and personal integrity.

_The Iowa Promise_ also articulates five top-level goals that are key to achieving our aspiration. The goals, and the strategies associated with them, emphasize excellence in carrying out all aspects of our mission. Our five top-level goals are:

- To create a University experience that enriches the lives of undergraduates and helps them to become well-informed individuals, lifelong learners, engaged citizens, and productive employees and employers.
- To cultivate excellent graduate and professional programs, and to advance the research and scholarly enterprise.
- To promote excellence in education by increasing the diversity of the faculty, staff, and students.
- To strengthen the University’s intellectual and community vitality.
To broaden the University’s service mission to include stronger partnerships with public constituencies.

The strategies associated with these goals specify our expectations for the content and quality of education students receive at The University of Iowa. Those expectations are considered at length in the special emphasis section of this self-study.

**Open and Collaborative Planning Process**

The 23-member strategic planning committee that wrote *The Iowa Promise* comprised undergraduate and graduate students, faculty, staff, and administrators from across campus, including the presidents of the student government, Faculty Senate, and Staff Council. The committee held two widely-publicized open forums early in the process, and two more later, when a draft of the plan was available for the University community to review. The committee posted drafts of the plan as it evolved to a public web site, and invited comments to an e-mail address established for that purpose. The open forums, e-mail, and visits with constituent groups resulted in many comments and suggestions that helped to inform and improve the plan.

The plan was announced to the University community as it was presented to the Board of Regents, State of Iowa. Then-Provost Hogan talked about the plan in his first annual spring address to the University community, and distributed printed copies of the plan on that occasion. Once the Board approved the final plan, it was posted on the University’s web site, where it remains. The plan is cited in news releases about various initiatives and actions that have followed from it. The Office of the Provost distributes the plan in printed form to all new faculty during their orientation.

**Evaluation of the Plan**

The University reports each year to the Board of Regents about progress related to the strategic plan. As part of this annual review, the University tracks 44 indicators of progress tied to the plan’s five top-level goals.

Recognizing that environmental factors change unpredictably, the strategic planning committee sought to create a plan that would “[give] University leaders a context for judicious decisions about . . . effective allocation [of resources] regardless of unforeseen developments.”

The University continues to adhere to a five-year planning cycle, and will undergo a new strategic planning process for 2010 to 2015.

**Core Component 1b: In its mission documents, the organization recognizes the diversity of its learners, other constituencies, and the greater society it serves.**

**Diversity in the Mission Statement and Board Documents**

Section 6.04 of the Board of Regents Policy Manual states, “the [Regent] universities shall maintain diverse and multicultural campuses to educate students and scholars to participate in the broader world and to strengthen the State of Iowa’s connections with other states and countries.”

The University’s mission statement recognizes that our students will live and work in an “increasingly diverse and global environment,” and that the education we provide
By definition, a university integrates diverse intellectual perspectives. It's not a big leap to say that, in order to do so, we must develop the social and cultural diversity of our student body, our faculty, and our staff. And we must infuse our curriculum, our research and creative activities, and our service to the public with the values of diversity. Diversity—in all its manifestations—is not something that we can delegate to an office or an individual. It is something that must be part of the fabric of our everyday work.

—Sally K. Mason, University of Iowa President

must give them the tools they need for success in that environment. In fact, as Presidents Coleman, Skorton, and Mason all reaffirmed and as stated in The Iowa Promise (see below), we recognize that sustaining a diverse learning environment is crucial to providing the highest quality education for all of our students, and that incorporating diversity into all aspects of our mission is fundamental to performing that mission with excellence.

Diversity of Constituencies

Incorporating diversity broadly is especially important because we serve so many constituencies. Not only do we teach, conduct research, and provide public service, we also treat patients, support businesses and nonprofit institutions, protect public health, entertain, and serve as an engine for economic development in the state. Our colleges and other units have their own missions, each emphasizing a certain subset of these roles that we play as an institution. The strategic plan addresses all of these roles—most directly in the top-level goals related to vitality and engagement.

Diversity in the Strategic Plan

Diversity features prominently throughout The Iowa Promise, notably as one of our seven core values and as the focus of one of the plan’s five top-level goals: “To promote excellence in education by increasing the diversity of the faculty, staff, and students.”

Our statement of core values asserts:

Because diversity, broadly defined, advances its mission of teaching, research, and service, the University is dedicated to an inclusive community in which people of different cultural, national, individual, and academic backgrounds encounter one another in a spirit of cooperation, openness, and shared appreciation.

Strategies related to diversity focus on promoting a welcoming climate throughout the University; building a critical mass of underrepresented faculty, staff, and students; and holding all parts of the University community accountable for both of those efforts, because diversity is central to all parts of the University’s mission. In the past few years, we have made good progress by following the strategies laid out in the plan. The aspects of that progress pertinent to undergraduate education are described in the special emphasis section of this self-study.

Progress on Strategies Related to Diversity

Once The Iowa Promise was in place, the provost appointed a Diversity Action Committee (DAC) and charged it with suggesting specific action steps the University could take to move toward the goals in the strategic plan. That committee submitted its final report in spring 2006, and action has been initiated on its recommendations. The University has reorganized the administrative structure of major diversity-focused units, created a new Center for Diversity & Enrichment (CDE), and established a new
high-level position: special assistant to the president for equal opportunity and diversity.

Each college has a collegiate diversity committee. We have piloted diversity workshops across campus; created a new scholarship program to support well-prepared students whose enrollment will contribute to a diverse learning environment (as described in the special emphasis section of this self-study); and increased by 67% over FY 2004 levels funding for the Office of the Provost’s Faculty Diversity Opportunity Program (FDOP), which supports hiring minority faculty. In spring 2007, the budget pool for FDOP was just over $1 million; the target for 2010 is $1.3 million. As of July 1, 2007, a similar program in Human Resources, the Staff Diversity Opportunity Program (SDOP), was funded to support hiring women and minorities into classifications for which they are underrepresented. Furthermore, since July 1, 2006, Human Resources has funded Cultural Linguistic Services, a program established to support retention and success among UI employees who are English language learners.

Fall 2006 and fall 2007 set new records for the largest total number of minority students ever on campus, and brought the number of minority students as a percentage of total enrollment to its highest point since 1998. More minority faculty began their appointments in fall 2006 than in any previous year, thanks in part to the increase in FDOP funding, and additional modest gains were made in fall 2007, bringing the percentage of racial/ethnic minorities among tenured and tenure track faculty to 17.1%—significantly surpassing the target of 16.0% set during the most recent strategic planning process.

Increasing diversity among faculty, staff, and students remains a particular challenge in Iowa, where the general population remains considerably less diverse than in many other states. According to 2005 state population estimates from the Census Bureau, the minority population of Iowa is 8.5%, the lowest among Big Ten states. The next lowest is Minnesota, at 13.7%, and the highest is in Illinois, at 34.2%. The additional institutions in the University’s official peer group (described below) are in states where minorities represent 31.7% (North Carolina) to 56.2% (California) of the population. Figure I-2 divides the percentage of racial/ethnic minorities among students enrolled at UI and each of its peer institutions by the percentage of racial/ethnic minorities in the total population of the relevant state (for example: Iowa’s state population is 8.5% minority according to 2005 Census Bureau estimates, and UI’s fall 2006 minority enrollment as a percentage of undergraduate enrollment was 8.7%; UI’s fall 2006 minority enrollment percentage therefore is 102.4% of the state minority population percentage). This view illustrates that UI is one of only three institutions among its official peer group where the percentage of minorities among enrolled students exceeds the percentage of minorities in the state population.
In fall 2007, 1,968 international students (undergraduate, graduate, and professional) from 113 countries enrolled at UI, representing 6.5% of the University’s total enrollment. This marks a decrease from fall 2006, when 2,004 international students represented 6.7% of total enrollment. The number of international undergraduate students, however, rose from 380 (or 1.8% of the undergraduate student population) to 404 (1.9%). This may point to the success of a new allocation by the Office of the Provost that brought the total investment in international recruiting to $100,000.

In 2005, the Office of Equal Opportunity and Diversity conducted online diversity climate surveys of undergraduate students, graduate and professional students, faculty, and staff. A report on the survey of undergraduate students, released in spring 2007, found that while most students report positive perceptions of the diversity climate at UI, students from racial/ethnic minority backgrounds, international students, and students older than traditional college age felt less included at the University and perceived less of an institutional commitment to diversity than did their majority counterparts. These surveys will lead to additional goals for improvement.

**Policies Regarding Ethical Treatment of Others**

Community, Integrity, Respect, and Responsibility are among the University’s core values, and the core values statement promises that “the University takes seriously its obligation to protect academic freedom and free expression [and to] maintain a safe, supportive, healthy, and humane environment.” Under the top-level goal “To strengthen the University’s intellectual and community vitality,” strategies include “promoting the health, well-being, and professional growth of all members of the University community,” and “attaining and maintaining gender and racial equity in opportunities and compensation.”

A variety of policies are in place to help ensure that we uphold our core values. We have
an overarching Human Rights Policy, which states:

The University of Iowa brings together in common pursuit of its educational goals persons of many nations, races, and creeds. The University is guided by the precepts that in no aspect of its programs shall there be differences in the treatment of persons because of race, creed, color, national origin, age, sex, disability, sexual orientation, gender identity, or any other classification that deprives the person of consideration as an individual, and that equal opportunity and access to facilities shall be available to all. Among the classifications that deprive the person of consideration as an individual are those based on associational preference. These principles are expected to be observed in the internal policies and practices of the University; specifically in the admission, housing, and education of students; in policies governing programs of extracurricular life and activities; and in the employment of faculty and staff personnel. The University shall work cooperatively with the community in furthering these principles.

Section III-16 of the Operations Manual—the chapter on Ethics and Responsibilities for University of Iowa Staff—states that “staff will treat members of the University community with dignity and respect,” and that “staff will respect the diversity of individuals in the workplace and respect the differences among them.” Job descriptions for staff include expectation statements related to civil and respectful interactions and diversity and inclusion. The University of Iowa Hospitals and Clinics Code of Ethical Behavior includes as its first standard, “Treat all patients with dignity and respect.”

Section III-15 of the Operations Manual, Professional Ethics and Academic Responsibility, describes faculty members’ responsibility to treat students and colleagues with fairness and respect.

The Student Handbook of the College of Liberal Arts and Sciences (CLAS) asserts that “Students have the right of respect from all instructors and staff in the College . . . . Students have a right to a classroom environment that encourages learning. As a part of a community of learners, students and instructors should work toward classrooms and courses in which everyone feels able to explore new ideas and to acquire skills.” The Code of Student Life states that students will be subject to disciplinary action if they “intentionally interfere[] with the lawful rights of others.”

Our Operations Manual includes a statement on diversity and a nondiscrimination statement that is printed in official University publications.

The University complies with Title IX of the Education Amendments of 1972, the federal civil rights law that prohibits sex discrimination in education programs and activities such as admissions, housing, financial aid, and athletics. The special assistant to the president for equal opportunity and diversity serves as UI’s Title IX coordinator.

Core Component 1C: Understanding of and support for the mission pervade the organization.

Communicating the Plan

As described above, the strategic planning committee that created the University’s current plan included representation from across campus. The process involved the University community, solicited feedback about successive drafts of the plan, and incorporated as much of that feedback as possible into the final plan. The plan was
announced to the University community in March 2005. Once it received final approval from the Board of Regents, State of Iowa, in June 2005, it was distributed in print form and posted on the University’s web site.

**Academic and Nonacademic Unit Plans**

The University’s 11 colleges have strategic plans that are approved by the provost. Most align with the current UI plan, although some colleges are in the process of updating plans that were developed under the previous UI plan. Nonacademic units also have plans that align with the University-wide plan. The Finance and Operations strategic plan, for example, identifies four priorities: organizational vitality, financial stewardship, quality of service, and process improvement. Together, these priorities support several of the goals and strategies in *The Iowa Promise*. The goal supported most directly is the goal to “strengthen the University’s intellectual and community vitality,” which includes strategies related to making the best possible use of existing resources, securing new resources, and nurturing the well-being and professional growth of all members of the University community. The plan of the Office of the Vice President for Research is more typical of unit plans, in that it is organized according to the five top-level goals of *The Iowa Promise*. The plan of the Division of Student Services shares four of the five University-level goals.

As described under Criterion 2 below, central budget development and strategic reallocation are guided by the overarching strategic principle that limited resources must be invested in advancing the University’s highest priorities, preserving its strengths, and developing new areas of distinction. Each UI unit directs its resources toward its strategic planning goals. Program and unit reviews help administrators ensure that the same principle guides decision making across the University.

**Ongoing Communication**

As mentioned, the Office of the Provost distributes the plan in printed form to new faculty during their orientation. The plan is referred to in news releases and other communications that describe strategic actions the University has taken, such as the action steps that resulted from the work of the DAC, described above. As described below, the annual budget narrative to the Board of Regents ties budget priorities to goals and strategies in *The Iowa Promise* explicitly. The annual strategic planning progress reports are part of the public record and are posted on the Board of Regents web site.

**Core Component 1d:** The organization’s governance and administrative structures promote effective leadership and support collaborative processes that enable the organization to fulfill its mission.

**The Board of Regents, State of Iowa**

Pursuant to Chapter 262 of the Code of Iowa, The Board of Regents, State of Iowa, consists of nine members appointed by the Governor and confirmed by the Iowa Senate. The Board both “governs and coordinates the operations of” the state’s three public universities (The University of Iowa, Iowa State University, and the University of Northern Iowa, hereafter the Regent universities), as well as two special K-12 schools, the Iowa School for the Deaf and the Iowa Braille and Sight Saving School.

Board members—one of whom must be a full-time student at one of the Regent universities when appointed—serve staggered, six-year terms. No more than five of the
nine may be from the same political party, and there must also be a gender balance. The Board elects one of its members to serve as president and another to serve as president pro-tem for two-year terms.

Section 1.03 of the Regents Policy Manual includes the following statement on governance of the Regent universities:

The Board of Regents, State of Iowa, by statute, governs Iowa’s three state universities . . . The Board, pursuant to this authority, establishes the missions, adopts strategic plans, makes educational policy, appoints presidents and other institutional officials, reviews and approves budgets for submission to the Governor and General Assembly, establishes and oversees annual operating budgets and personnel policies, pursues public policy and budget priorities, reviews and approves academic programs, and adjudicates disputes. The staff of the Board, headed by the Executive Director . . . provide support for the Board, including review and analysis of all budget and policy proposals, and preparation of recommendations to the Board.

The Board’s mission statement calls for the Regent institutions to carry out high-quality teaching, research, service, and support of economic development “in accordance with their respective missions.”

The Board meets throughout the year (a minimum of four times per year, but more typically 9 to 11 times). In accordance with Iowa’s open meetings law, all meetings are open to the public, except when the Board goes into executive session to discuss such matters as personnel issues or pending litigation.

Structure of University of Iowa Administration

As indicated in the statement on governance, the Board appoints The University of Iowa’s president, whose cabinet includes the executive vice president and provost, the senior vice president and treasurer, the vice president for research, the vice president for student services and dean of students, the vice president for medical affairs, and the vice president for legal affairs and general counsel. The individuals in these positions report directly to the president, as do the special assistant to the president for equal opportunity and diversity, the special assistant to the president for governmental relations, the athletic director, the director of university relations, and the Office of the Ombudsperson. The chief executive officer of the University of Iowa Hospitals and Clinics reports to the president through the vice president for medical affairs, a position created in January 2007 to integrate three UI organizations that conduct patient care: the University of Iowa Hospitals and Clinics, the Carver College of Medicine, and University of Iowa Physicians. In fall 2007, the University also appointed a new senior associate to the president to advise on policy and coordinate special initiatives.

The University’s eleven colleges (the Colleges of Liberal Arts and Sciences, Dentistry, Education, Engineering, Law, Nursing, Pharmacy, and Public Health, the Tippie College of Business, the Carver College of Medicine, and the Graduate College) are principally responsible for carrying out the University’s academic mission, along with the Division of Continuing Education, International Programs, and the University College (an organizational unit that administers academic credit for a variety of programs—such as the University of Iowa Honors Program, College Success Initiatives, and the Office for Study Abroad—that do not reside in one of the other colleges). Each of these units has a dean who reports to the executive vice president and provost, the University’s chief academic officer. The University librarian, director of the Museum of Art, and chief
information officer also report to the executive vice president and provost.

Section II-28 of the Operations Manual provides for reviews of the offices of the president, executive vice president and provost, and all vice presidents—and reviews of the central academic officers themselves—at least once every seven years (the most recent administrative reviews can be accessed from the Faculty Senate web site or from the University’s administration web page). The same schedule applies to reviews of colleges and departments. Collegiate deans are to be reviewed at least every five years, without regard to the timing of the review of the college. Circumstances such as turnover in administrative positions sometimes affect the scheduling of these reviews.

Review of the administrative structure is an ongoing process. As described above, over the last ten years the University’s presidents have created and eliminated positions as needed to address institutional priorities.

Shared Governance

The University of Iowa has a long tradition of shared governance, and the University’s core leadership continues to support that tradition. As illustrated by the list of units in Operations Manual section I-2.8, “Advisory Bodies,” key elements of the UI shared governance model include the Faculty Senate and Faculty Council, the Staff Council, and the Partnership of the Student Governments at Iowa (PSGI).

The Faculty Senate is composed of elected faculty representatives from each of the University’s colleges, except for the Graduate College. The Senate raises issues that concern the faculty to the central administration, recommends policy changes, and appoints individuals to serve on University committees. The Senate consults with the Board of Regents, State of Iowa, regarding appointment of central academic officials, and with the president regarding the performance reviews of those officials. The Faculty Council consists of 23 elected members of the Faculty Senate who represent the Senate when the Senate is not in session. The officers of the Faculty Senate—who occupy their positions for one year—are the president, vice president (who becomes president the following year), past president, and secretary. The inclusion of past and newly-elected presidents in the governing structure permits the faculty leadership to maintain continuity. Faculty Senate officers meet regularly with the executive vice president and provost, and less frequently but also regularly with the president and executive vice president and provost together.

The Staff Council represents the University’s non-bargaining professional and scientific and merit supervisory exempt/confidential staff members. The individuals elected to this body promote communication among staff, the central administration, the Faculty Senate, and the student government. In regular meetings with central administrators and through participation on University committees, Staff Council voices the concerns and suggestions of staff members and recommends policy changes.

Student governance transitioned during 2006-07 from a unified governing body to a more representative, bicameral legislature. The new legislative body is known as the Partnership of the Student Governments of Iowa (PSGI). PSGI consists of two member student governments: the University of Iowa Student Government (UISG) and the Executive Council of Graduate and Professional Students (ECGPS). UISG represents undergraduate students, whereas ECGPS represents graduate and professional students. Student leaders meet regularly with central administrators, and PSGI members serve on a variety of University committees.
In 2005-06, the elected presidents of the Faculty Senate, Staff Council, and Student Government asked President Skorton to convene a task force to evaluate ways of strengthening collaboration among the three shared governance constituencies. That task force submitted its final report in May 2006, and one of its recommendations was the creation of a Shared Governance Council (SGC) comprising the presidents, past presidents, vice presidents, and secretaries of the Faculty Senate and Staff Council and the presidents and vice presidents of the UISG and the ECGPS. The SGC has been created and has begun to meet monthly to discuss items of interest to all three constituencies. The SGC meets regularly with central administrative officers.

The University also has a number of charter committees that advise the central administration about important issues. Charter committees generally include faculty, staff, and students, and are established or modified by collective action of the PSGI, Staff Council, Faculty Senate, and University president. The Operations Manual states that while charter committees act in an advisory capacity only, “it is expected that the views of the committees will have an important influence on policies and procedures in their areas of concern,” and that “members of the charter committees . . . should report to and seek the views of the assemblies [that] have nominated them.” Current charter committees, for example, address issues related to diversity, University safety and security, human rights, family issues, campus planning, and athletics. The Funded Retirement and Insurance Committee (FRIC) is a faculty/staff charter committee that reviews and recommends changes to faculty and staff retirement, insurance, fringe benefits, and medical and health programs. The Council on Teaching, which advises the central administration on programs and policies related to teaching, is a UI charter committee; so is the Research Council, which advises the central administration regarding policies and guidelines governing research.

Though not governed by the terms of the General Charter, the Joint Faculty Staff Budget Committee (which, like FRIC, is made up of seven members appointed by the Faculty Senate and seven appointed by the Staff Council) advises the administration on matters that affect the University’s General Education Fund. These include budgetary priority setting, salary policy, state appropriations requests, internal governance procedures that have budgetary implications, and allocating funds to support planning priorities and to address the results of unit reviews. Separate faculty and staff budget committees were combined in 2003 to provide for more efficient communication with the central administration and better coordination between the Faculty Senate and Staff Council.

The Finance and Operations office has a shared governance plan that outlines expected communication among staff, unit directors, the Finance and Operations Leadership Group, and the senior vice president for finance and operations. Senior staff and unit directors are expected to demonstrate adherence to principles of shared governance in annual performance reviews.

The individual colleges also have developed structures to support shared governance. Most have their own elected faculty bodies (although some smaller colleges meet as “faculties of the whole”), and some also have elected staff bodies. The College of Engineering, for example, has the Engineering Faculty Council and Engineering Staff Council. The Tippie College of Business has an Elected Faculty Council and an Elected Staff Council. The College of Liberal Arts and Sciences (CLAS) has three elected faculty governance bodies: the Educational Policy Committee, the Executive Committee, and the Faculty Assembly. Staff are included in CLAS governance through participation on
a variety of regular and *ad hoc* committees, including the CLAS Administrative Support Group, the CLAS Classification Review Committee, the CLAS Flexible Pay Committee for P&S Staff, the CLAS Staff Recognition Committee, and several others. Also, CLAS (like other colleges) appoints students to several committees, including for example the Dean’s Student Advisory Committee, the Educational Policy Committee, the Admissions Committee, and the Teaching Awards Committee.

The **Graduate Council** consists of the dean and associate deans of the Graduate College (as *ex officio*, non-voting members), 13 elected members of the graduate faculty, and four graduate students chosen by the Graduate Student Senate. The Graduate Council advises the dean on matters related to the graduate faculty and graduate programs.

**Faculty Responsibility for the Curriculum**

Effective processes are in place to ensure that faculty members have primary responsibility for decisions about the curriculum, as described in the special emphasis section of this self-study (the procedures governing undergraduate curricula, as described in the special emphasis, pertain to graduate and professional curricula as well). Proposals for new academic programs must be approved by the appropriate collegiate bodies, by the Office the Provost, and finally (in the case of new major programs) by the Board of Regents. To ensure that new programs fit into an effective overall educational policy, proposed new graduate programs first must be approved by the Graduate Council before they are submitted to the Office of the Provost and the Board of Regents.

**University Relationship with the Board**

The University's relationship with the Board of Regents over the past decade has generally been very productive and positive. One area of concern in recent years, now resolved, was the situation surrounding the first, failed search for a new president following the departure of President David J. Skorton in 2006. The accompanying conflict led to votes of no confidence in the Board leadership by the Faculty Senate, the Staff Council, and the UISG. Since that time, with four new members on the Board, new leadership of the Board elected, and the arrival of new President Sally Mason, relations have improved and the partnership between the University and the Board has functioned effectively. The University and the Board worked successfully together, for example, to advance the University's top priorities to the legislature during the FY 2008 budget process.

**Core Component 1e:** The organization upholds and protects its integrity.

**Integrity as a Core Value**

Integrity is one of the University’s core values—and, of course, all seven core values, taken together, reflect the University’s expectations for ethical conduct. Our core values statement affirms that:

The University recognizes its accountability to the people of Iowa and the need to exercise responsible stewardship over the intellectual and material resources entrusted to it, including the need to direct those resources to programs and initiatives that are central to the University’s core mission. In all that it does, the University measures itself by exacting standards, promotes continuous improvement, honors excellence and high aspiration, and holds its community as a whole to the highest degree of honesty, fairness, and personal integrity.
Policies to Uphold Integrity

The University publishes many documents designed to ensure integrity in the pursuit of all aspects of its mission, from teaching to financial operations to interpersonal relationships. Colleges and other academic and nonacademic units also publish policies for that purpose. In some cases, rather than implement a central policy, the University has required units to develop their own policies.

The University of Iowa General Catalog—in both its print and online iterations—provides information on University courses and curricula as well as fees, policies, and regulations. The General Catalog serves a vital function in educating readers about the role and purpose of the University because it is one of few University documents seen by every student and prospective student, by most parents, and by many legislators, alumni, and funders.

The University Operations Manual contains University-level policies and procedures. As its introduction states:

The University of Iowa is governed by state and federal law, administrative regulations, and policies of the Board of Regents, State of Iowa, which provide broad direction on University affairs. This . . . Operations Manual contains University administrative, financial, and community policies, as well as certain University-level implementing procedures. These policies and procedures have been developed to supplement and clarify Regent policy and to incorporate specific requirements of federal, state, and administrative rules and regulations.

According to UI web server statistics, in 2006-07 the average monthly number of requests for the top-level page of the web-based Operations Manual was 2,296.

University, college, and major non-academic unit manuals of procedure/handbooks available online include:

- University of Iowa Student Handbook
- College of Liberal Arts and Sciences Manual of Procedure
- College of Liberal Arts and Sciences Student Academic Handbook
- Tippie College of Business Undergraduate Program Policies and Procedures
- Tippie College of Business MBA Student Policies and Procedures Manual
- Tippie College of Business Faculty and Staff Policies and Procedures Manual
- College of Education Faculty Handbook
- College of Education Policies
- College of Engineering Manual of Procedure
- College of Law Faculty Handbook
- College of Law Student Handbook
- Carver College of Medicine Manual of Procedure
- Carver College of Medicine Faculty Affairs Policies
- Carver College of Medicine Student Handbook
- College of Nursing Student Handbooks
- College of Pharmacy Student Handbook
- College of Public Health Faculty Handbook
- Manual of Rules and Regulations of the Graduate College (plus informal rules for academic success)
- UIHC Graduate Medical Education Policies and Procedures
- The Center for Teaching’s Handbook for Teaching Assistants
The College of Dentistry and the University of Iowa Hospitals and Clinics have manuals of procedure that are not available to the general public online at the time of this writing. Many departments also publish student handbooks and policy manuals.

Federal law requires the University to disseminate broadly certain policies to faculty, staff, and students on an annual basis. The Office of Human Resources, the Office of Equal Opportunity and Diversity, and the Office of the Provost send to staff and faculty annual notifications of key community policies—from the policy on sexual harassment to policies on conflict of interest. These and other community policies are published in the University Operations Manual. The Office of Human Resources also publishes all University-level policies related to University employment in the Staff Handbook and on the Human Resources web site.

The Office of the Provost publishes the Faculty Handbook, which includes policies and procedures affecting faculty, including those related to appointment, promotion, and tenure; professional rights and responsibilities; classroom policies; compensation; and research compliance.

The Division of Sponsored Programs (DSP) publishes University-level policies related to research, including, for instance, policies related to the use of human and animal subjects in research, dealing with potential conflicts of interest, and research ethics. DSP also publishes state and federal guidelines governing sponsored projects.

The Policies and Regulations Affecting Students, including the Code of Student Life, are distributed to all students, who are expected to become familiar with them. University Housing, for example, requires that students in the residence halls abide by those policies and regulations, as well as the Standards of Student Behavior in the Residence Halls, the Residence Hall Guidebook, and the terms and conditions of the residence halls contract.

Section V of the Operations Manual deals with policies related to administrative, financial, and facilities matters. Many of these policies are administered by the Controller’s Office, a division of Finance and Operations that provides financial and accounting services.

The Office of the President maintains a web page that encourages individuals who have concerns about possible financial misconduct or violation of University financial policy to file a confidential report with EthicsPoint®, a third-party reporting firm. Reports may be submitted anonymously.

Additional policies related to academic integrity are detailed under Criterion 4 (Core Component 4d).

Internal Auditing Functions

Several units perform internal auditing functions for various processes in the University. The Internal Audit Department ensures that the University exercises responsible management—particularly fiscal management—and that its units comply with applicable policies. Every year, the department develops and executes a comprehensive audit plan, reporting the outcomes to the Board of Regents through the Board’s Audit and Compliance Committee. Three Institutional Review Boards (IRBs) review and approve human subject research at the University, in accordance with Department of Health and Human Services regulations. Human Resources requires credential checks for all newly hired faculty, professional and scientific staff, and some merit staff, as
well as criminal background checks on newly hired staff in positions that have been designated “security sensitive.” Hospital Human Resources handles credentialing and background checks for UIHC employees. The Office of Clinical Quality, Safety, and Performance Improvement (CQSPI) in the University of Iowa Hospitals and Clinics monitors adverse incidents in the hospital to ensure patient safety.

**Accreditation and External Oversight**

The University’s accountability to those we serve is ensured further by various external agencies, including all the organizations that accredit the University and units or programs within it. In addition to our accreditation by the Higher Learning Commission of the North Central Association, units and programs within the University are accredited by a wide variety of accrediting bodies, as listed in Appendix I-C. This includes nonacademic units such as athletics, which is subject to certification by the National Collegiate Athletic Association (NCAA); and the University of Iowa Hospitals and Clinics, accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO).

The University of Iowa has signed on to participate in the Voluntary System of Accountability (VSA) project, a partnership between the National Association of State Universities and Land Grant Colleges (NASULGC) and the American Association of State Colleges and Universities (AASCU). As announced in November 2007, the tool the VSA will use will be a common web reporting template, the College Portrait. Participating universities will provide easily accessible information to potential students, their families, and the public in three areas: student and family information, student experiences and perceptions, and student learning outcomes. Information will be kept consistent, comparable, and transparent by means of a five-page template that participating institutions will post on their College Portrait web sites. The information is meant to demonstrate to the public that the institutions are good stewards of their resources.

The University is also subject to the policies laid out in the Board of Regents Policy Manual, which range from business procedures to personnel policies to academic policies and procedures. Chapter 7 of the Policy Manual includes the Regents Code of Business and Fiduciary Conduct. In August 2007, after a lengthy process of revision, the Board approved the final changes to Chapter 6 of the Policy Manual, which lays out policies related to strategic planning, academic program review, approval of new programs, academic freedom, and other academic issues.

Iowa statutes require the Office of the Auditor of State to conduct audits on all state entities, including the Regent institutions. The most recent available reports are available from the UI Controller’s Office.

The UI Office of the Registrar oversees compliance with the Family Educational Rights and Privacy Act (FERPA), and a dedicated officer monitors compliance with the Health Insurance Portability and Accountability Act (HIPAA). The Department of Athletics maintains a compliance web site to help UI boosters understand NCAA rules governing such things as donations and recruiting, and designates a senior staff member as compliance officer.

A full-time staff member in the Office of Equal Opportunity and Diversity monitors the University’s compliance with the Americans with Disabilities Act (ADA) and other regulations. In spring 2006, an ADA compliance review task force submitted a final
report that found the University to be in compliance with the requirements of the ADA, but called for us to “aspire to improve accessibility beyond the minimum requirements of the ADA, in keeping with the strategy identified in The Iowa Promise to create a more welcoming and accessible environment for individuals with disabilities.”

With regard to athletics, in addition to being certified by the NCAA, UI is a member of the Coalition on Intercollegiate Athletics (COIA), a grassroots group of Division 1A faculty senates working for intercollegiate athletics reform. COIA currently has 55 members, including 9 of the 11 Big Ten universities (Purdue and Wisconsin are not members at this time).

**Resources and Procedures for Individuals with Grievances**

The *Operations Manual* and other published policy manuals include clearly defined grievance procedures, such as the grievance procedures for professional and scientific personnel, the exempt Merit system member grievance procedure, the student employee grievance procedure, and faculty dispute procedures. Section II-29 codifies the procedures related to “cases involving alleged violations of the Uniform Rules of Personal Conduct at Universities under Jurisdiction of the Board of Regents, State of Iowa.”

The colleges have published grievance procedures for students, faculty, and staff. The College of Liberal Arts and Sciences publishes its policies and resources for students making complaints in its academic handbook. The College of Education provides a step-by-step process students may follow, as well as resources for both graduate and undergraduate students who have complaints. The College of Engineering publishes the informal procedure for student complaints concerning faculty actions on its web pages. The Graduate College posts on its web site a procedure for students making informal complaints having to do with academic matters. If the informal procedure fails, students may initiate the College’s formal academic grievance procedure, also described on that site. Many of the other handbooks and manuals listed above also contain policies and procedures related to grievances.

Section III-15.2(m) of the *Operations Manual* requires instructors to inform students, at the beginning of each course, about departmental and collegiate complaint procedures and the availability of the Office of the Ombudsperson.

The Office of the Ombudsperson exists, in part, to help faculty, staff, and students understand the University’s published policies and procedures. The Office also offers a “confidential, neutral, and independent dispute resolution service” to “ensure that all members of the University community receive fair and equitable treatment within the University system.” The Ombudsperson does not have authority to change policies and procedures, but does bring to the attention of central administration any policies that do not uphold individual rights; thus, the Office not only reviews individual grievances, it also performs an auditing function for University policies. The Office of the Ombudsperson publishes an annual report to document the number of visitors and the nature of their concerns, and to identify for the campus community some areas where progress needs to be made.

The Judicial Commission, a committee of the Faculty Senate, investigates faculty grievances against the University arising from denials of promotion and tenure or other causes and makes recommendations concerning the resolution of those grievances. The Commission has 30 members: a presiding officer, five mediators, and 24 panelists, all appointed by the Faculty Senate.