

Genetics PhD Program

Graduate Student Manual

(August 15, 2019)

Information contained in the accompanying pages is a summary of procedures and curriculum requirements that apply to graduate students in the Genetics PhD Program.

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I. Introduction

A. *Greetings from Director*

Undertaking a PhD in Genetics is a significant step in your career and a commitment that will fully occupy your life for several years. For most of you, the defining motivation is your quest for training in research. You will quickly find that along the road to completing your PhD degree, you must learn about many other aspects of scientific life. These include learning a great deal about how to write, how to communicate your research to different audiences, how to think about ethical issues, administration in the program and graduate college, and opportunities for teaching and for service.

This manual is intended to help you navigate many of these aspects of the path to PhD. The flowchart on the following page, developed by the Graduate College, and adapted for our Genetics program, depicts some of the major steps and considerations you will encounter along the path.

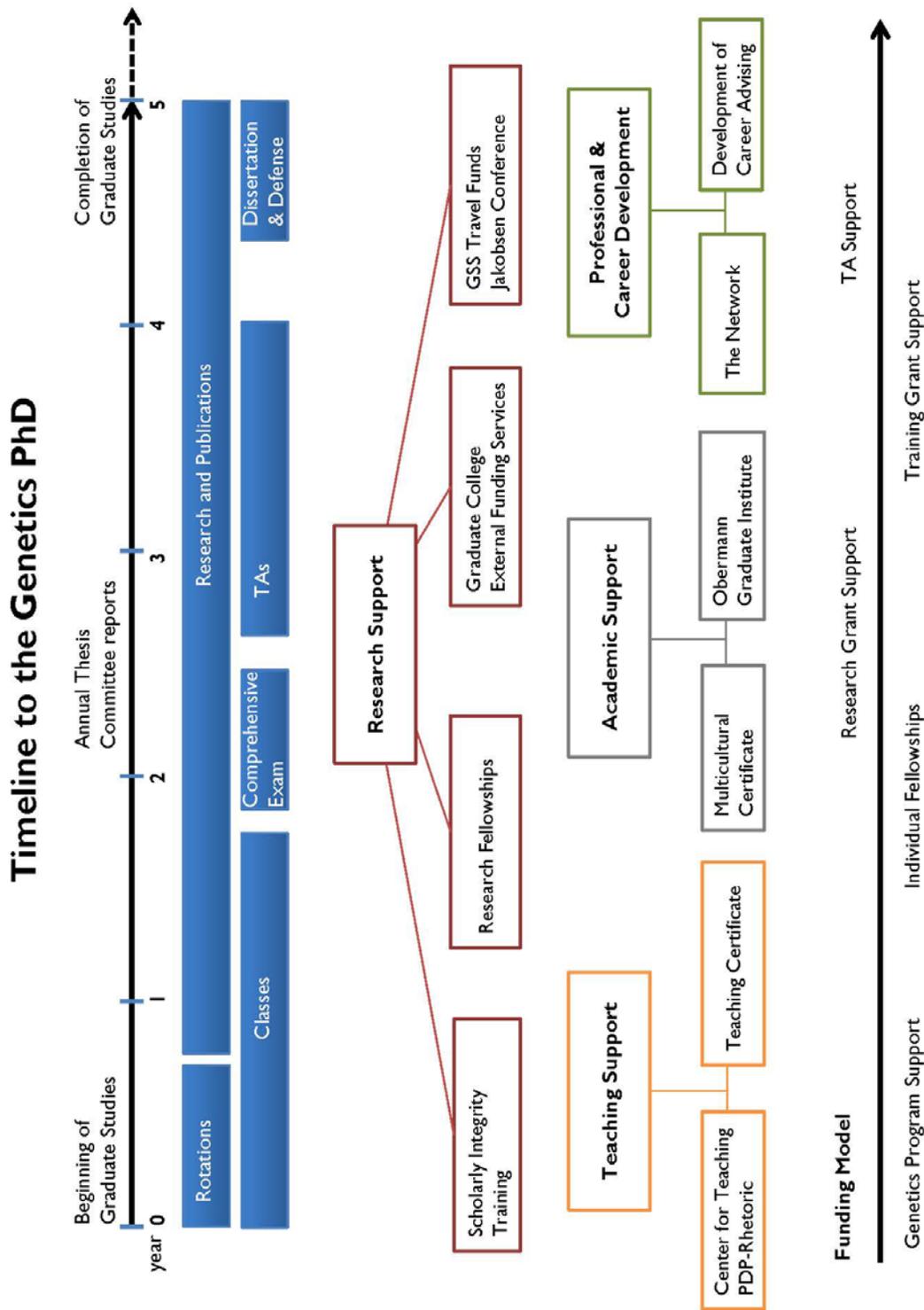
The guidelines in this manual reflect the operations and requirements of the Genetics program, taking into consideration the Graduate College requirements and procedures. As an interdisciplinary program student, you will have an affiliation with your mentor's primary department as well as the program. This can introduce some individual variation in administration of different students in the program, but we hope that this manual will serve to standardize the procedures and requirements as much as possible.

There will always be questions about the details in this manual, so I encourage you to contact the program office or me with your questions so we can help you optimally achieve your goal of graduating with the PhD in Genetics.

Enjoy the learning journey!

Daniel Eberl
Director, Interdisciplinary PhD Program in Genetics

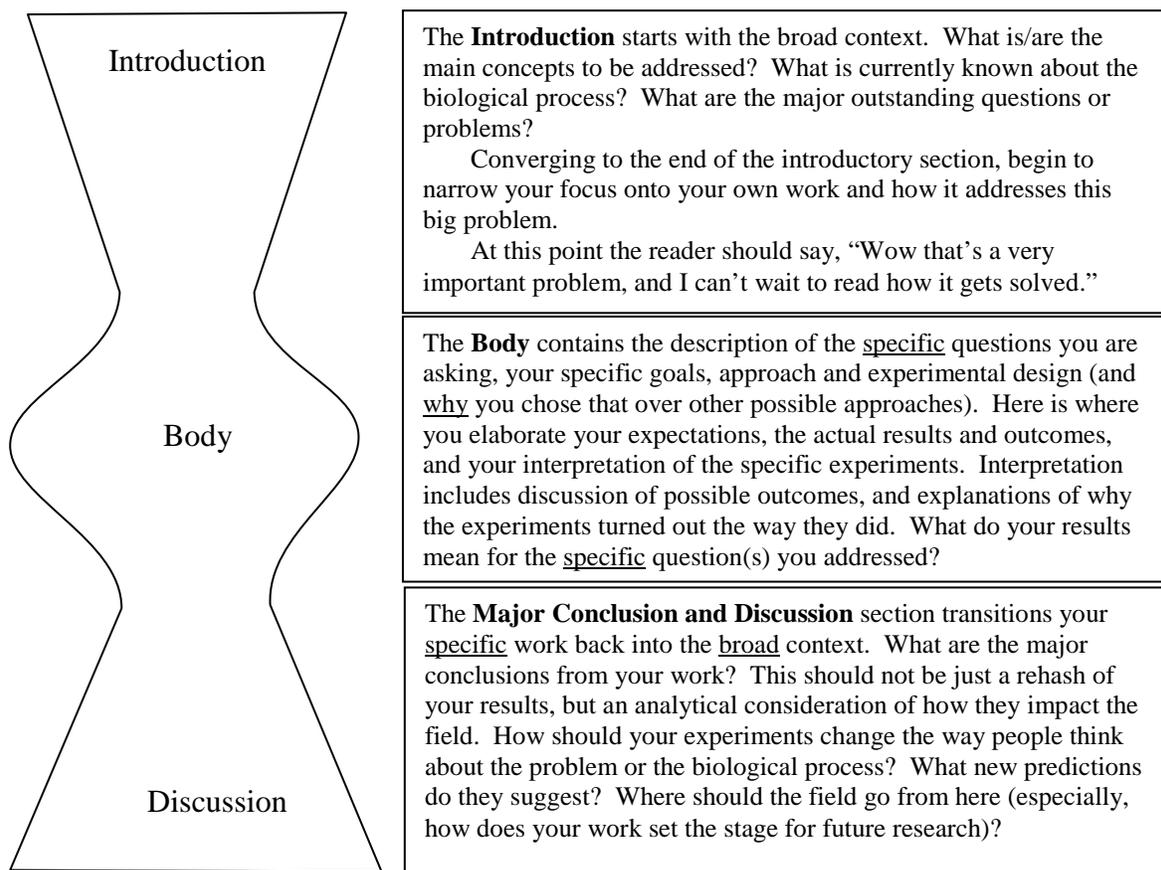
B. Timeline to Genetics PhD



C. The “Keyhole* Model” as an aid to scientific writing. D.F. Eberl

Writing is a major component of most activities in the lab. It is important to be able to communicate not only the minutiae of your experiments, but their significance and their contribution to the dynamic collective effort we call science. To achieve this goal of optimized communication in any writing project, whether it is a research prospectus, a presentation, a manuscript or a thesis, it is helpful to consider the “Keyhole Model” for composition. This uses the shape of the keyhole as an analogy for the scope of the writing as it proceeds from top to bottom, symbolizing from beginning to end of the written piece.

Let me describe how the keyhole analogy works:



Remember that writing is telling a story. Establish and maintain a logical thread. A collection of unconnected ideas or factoids will not keep the reader’s attention. Rather, direct the reader’s thinking with clear transitions and connecting statements so they stay with you from beginning to end.

I believe that using this approach will improve your writing, and thereby greatly improve the efficacy of your communication. In the end, your improved communication will facilitate the maximum impact of your work on science and the community.

*This analogy is not my own idea. I don’t recall which of my professors outlined this model to me when I was an undergraduate, but I have found it immensely useful, and so I pass it along. DFE.

II. Program Administration

A. Contacts:

Program Website:

<http://genetics.grad.uiowa.edu/>

Daniel Eberl, Program Director

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Director, Genomics Core, Iowa Center for Molecular Auditory Neuroscience
Department of Biology
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University of Iowa
Iowa City, IA 52242

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Megan Meyer, Program Administrator

Genetics Interdisciplinary Graduate Program
356 Medical Research Center
University of Iowa
Iowa City, IA 52242

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Karina Escobedo, Program Associate

Genetics Interdisciplinary Graduate Program
357 Medical Research Center
University of Iowa
Iowa City, IA 52242

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Office Phone: 319-335-6512

Fax: 319-335-7656

East Side Office

The Program Administrator works in the Biology Building on most Tuesdays. If you work on the East side, and you need an appointment with Megan, she will gladly meet you in 314 BB.

Genetics Interdisciplinary Graduate Program
314 Biology Building
University of Iowa
Iowa City, IA 52242

Phone: 319-335-9968

Email: grad-genetics@uiowa.edu

B. When are You Required to Contact the Program Office?

Educational Milestones

Students need to contact the Program Office (copy both Megan and Karina) at each of these milestones:

- Anytime your name, address, home phone number, cell phone number, or office/lab contact information changes
- When you make rotation mentor choices
- When you begin and complete TAs (the primary contact for this is Josep Comeron, but you should inform the office staff, too)
- When you choose your mentor
- Anytime your funding source changes
- When you choose your committees
- When you have changes in your committee membership
- When you need Karina to schedule committee meetings
- If you prefer to schedule your committee meetings independently, immediately upon scheduling the meetings
- As soon as you know your comps date
- As soon as you know you plan to defend in a particular semester
- As soon as you know your defense date
- Alumni—whenever you have a change of position, institution, name, or other contact information

Noteworthy Accomplishments

For website updates and to assist the Program Administration with other Genetics Program public relations, promotional, and training grant goals, please contact the Program Office when:

Students

- You receive fellowships, grants, or other monetary awards
- You publish papers or chapters
- You receive any honors or awards
- You receive any positive media attention
- Anything else you think may be announcement worthy

Faculty

- You receive moderate or high level accolades of any sort
- You receive any positive media attention
- You receive any award related to your teaching
- You publish something particularly noteworthy
- You receive noteworthy grants or other monetary awards

C. Whom Should You Contact?

Although Megan and Karina are both happy to assist you or guide you in the right direction, the table below lists the task distribution for some common Program Office requests.

First Contact	Question or Request
Megan	Registration changes (adds, drops, and change of hours forms)
Karina	Website updates and corrections
Karina	Research rotations and rotation evaluations
Karina	Room reservations
Karina	Travel arrangements and reimbursements
Karina	Meeting arrangements
Karina	Invoice payments (e.g. restaurant or supply bills)
Karina	Reports for Committee meetings
Karina	Reports for Comprehensive Committee meetings
Karina	Poster printing
Karina	Course evaluations
Megan	Budget questions
Megan	Policy questions
Megan	Stipend questions
Megan	U-Bill questions
Megan	Grant and fellowship questions
Megan	Complaints/concerns/problems
<i>Both Megan and Karina</i>	At educational milestones listed above

III. Financial Support (stipend, tuition, covered fees)

Graduate students in the Genetics Program at the University of Iowa are normally fully supported (stipend, tuition, covered fees) throughout their training in the Program, contingent on satisfactory progress, for a period that normally runs 4 to 6 years (total expected training time). Support commitments are reviewed annually, and are normally renewed each year if the student is making satisfactory progress. Whether the student is making satisfactory progress is determined by the student's mentor and Thesis Committee, the Graduate Affairs and Post-Comps Advisory Committees, and the Program Director.

Graduate student appointments include a stipend, which is subject to change each year commensurate with recommendations of the Research Advisory Committee of the College of Medicine. The stipend is set to be competitive with peer institutions. Stipends for students appointed to federal training grants (T32s, F31s, see below) are typically capped at levels below the University of Iowa biomedical stipend level, and in such cases, the difference is made up by the Program, mentor, or from other funds. For students appointed to the Genetics Training Grant (appointments normally run from 7/1 through 6/30), the stipend difference will be the responsibility of the mentor.

Tuition and covered fees include the following: (1) Base tuition and associated mandatory fees (technology fee, student activities fee, student services fee, student union fee, building fee, recreation facility fee, arts & cultural events fee, professional enhancement fee for graduate students, student health service fee); (2) All fees associated with core, required, and directly relevant elective coursework; (3) All fees associated with registration changes, credit hour changes, and other changes that occur in connection with required and directly relevant courses; (4) ITS printing fees (beyond the allotted amount). Fees that are NOT covered by the Program include: (1) Key deposits; (2) Fees associated with extracurricular or other elective courses not relevant to the program of study in Genetics; (3) Fines, penalties, parking tickets, and other such violation-associated fees; (4) Mandatory fees associated with submitting a dissertation, including a degree application fee, a publication and binding fee, and a thesis fee; (5) Fees and regalia rental charges associated with participating in commencement; (6) Costs associated with providing the Program Office and your mentor with bound copies of final thesis.

Stipend, tuition, and covered fees are paid by either University and/or departmental funds, and/or by extramural sources. Graduate students receive support through the following mechanisms:

A. *Training Grants*

Students in the early years of training may be appointed to federal traineeships, including the Genetics Training Grant (T32). Such appointments are based on merit, and thus are considered honorific.

Eligible students may be appointed to the Genetics Training Grant. Applications for Trainee slots on the Genetics Training Grant are solicited annually by the Executive Committee and the Program Director. Students may be eligible for other T32s (training grants), such as the Interdisciplinary Training Program in Pain Research and the Predoctoral Training in Pharmacological Sciences. Applications to training grants normally require submission of specific materials by certain deadlines, and interested

students are encouraged to consult with their mentor, the Genetics Program Director, and Program Directors of other potential T32s.

B. *Genetics Program Graduate Research Assistantships*

Students in the first year of training may be appointed to graduate research assistantships and awarded tuition scholarships, from funds allocated to the Genetics Program by the Graduate College. On occasion, students beyond the first year may be appointed to such graduate research assistantships, at the discretion of the Director.

C. *Other Graduate Research Assistantships*

Students may be appointed to a graduate research assistantship from a research grant, or may receive funding from the department in which their research is being performed, or may be awarded support from funds provided by the Graduate College.

D. *Teaching Assistantships*

Students may be appointed to a graduate teaching assistantship from funds provided indirectly through affiliated Departments and Programs (e.g. Biology).

E. *Other Means of Support and/or External Funding*

Students may receive support from other sources, including University of Iowa Graduate Recruitment Fellowships, Lulu Merle Johnson Graduate Fellowships, Graduate College Fellowships (Post Comprehensive Research Award, Summer Fellowship, Ballard Seashore Dissertation Fellowship, etc), and a variety of nationally competitive NIH, NSF, and other individual awards.

Students are encouraged to solicit external funding. The University of Iowa provides numerous resources to assist students in the identification and pursuit of extramural funding. Two excellent consultation resources are: 1) The Graduate College Office of Graduate Success (<http://www.grad.uiowa.edu/external-grants-and-fellowships>), and 2) The Division of Sponsored Programs (<http://dsp.research.uiowa.edu/>). The Scientific Editing and Communication Core in the Carver College of Medicine is also a great resource for editing your fellowship applications.
<https://medicine.uiowa.edu/sercc/resources>

F. *Summer Registration*

Graduate students in the Program normally do not register for summer term. There are three exceptions to this: (1) First-year students, some of whom will take courses during their first summer in order to maintain progress in satisfying the required core and elective coursework; (2) Students taking the Comprehensive Examination during the summer term; and (3) Students who are defending their PhD during the summer term. Outside of these exceptions, students will not register for the summer. (This policy is broadly in effect for all of the Bioscience-related programs at the University of Iowa.)

G. Tax Information

Students should be aware that a tightening of IRS regulations has led to FICA withholding for summer stipend checks for students not registered for the summer term. This can amount to an income loss of about \$300, depending on the student's particular circumstances. Genetics faculty mentors have the prerogative to pay their student an extra \$300 (or whatever the FICA withholding amounts to) for the summer, to offset the withholding. An agreement about this, one way or another, should be reached between the student and faculty mentor at the beginning of the academic year (normally July or August), for the following summer.

For students who are on a training grant fellowship (e.g., T32), it is recommended that the W-4 is changed to withhold taxes from paychecks each month for both federal and state. This will eliminate paying estimated taxes quarterly, and/or associated penalties.

H. University Bills – Program Specific Set-up Requirements

Students may **not** enroll in automatic U-bill payment methods offered by the University. Prohibited programs include: payroll deduct of your U-bill from your paycheck and automatic payment from your checking/savings accounts. The Program Office does not have direct control of your tuition payments at all points in your academic career. Tuition payment delays are common for a variety of reasons.

If you enroll in these programs, your tuition and stipend bill (sometimes over \$4,000) could be automatically deducted from your paycheck or your bank account. While the University of Iowa would eventually reimburse you for the tuition and fees deducted, most students do not have an extra \$4,000 available to tie up in bureaucratic delays.

IV. Curriculum

This section outlines the pre-requisite and required courses for Genetics PhD students, some example schedules, as well as policies and procedures. Courses listed under Electives, and under Seminars, should be not be considered restrictive—if there is a course that you and your advisor believe would enhance your training in relation to your research, you can submit a request to the Curriculum Committee for the course to be considered for credit under one of these categories. The request should include the course number and title, the course description, a copy of the syllabus if available, and a note from your advisor indicating how this course will enhance your training.

A. Courses Required as Prerequisites

Biochemistry (BIOC:3110 or BIOC:3120 <i>and</i> BIOC:3130 or equivalent)	3-8 sh
Organic Chemistry (2 semesters)	6-8 sh
Fundamental Genetics	3-4 sh
Introductory Physics, one year, college level	6-8 sh
Calculus or Statistics, one year of either	6-8 sh

B. Courses Required for all Genetics PhD Students

GENE:6150	FA	Genetic Analysis of Biological Systems ¹	3 sh
GENE:6234	SP	Basic Biostatistical Methods with Genetics Applications	1 sh
BMED:5207	FA	Principles of Molecular and Cellular Biology	3 sh
BIOL:3172	FA/SP	Evolution <i>or</i>	4 sh
BIOL:4333	SP	Genes and Development <i>or</i>	3 sh
GENE:7191	SP	Human Molecular Genetics <i>or</i>	3 sh
BIOL:3713	FA	Molecular Genetics	3 sh
GENE:6200	SP	Special Topics in Genetics (required of pre-comps students; counts toward the 5 required seminar hrs)	1 sh
BMED:7270	FA	Scholarly Integrity/Respon. Conduct of Research I	0 sh
BMED:7271	FA/SP	Scholarly Integrity/Respon. Conduct of Research II	0 sh

C. Electives (7 sh chosen from the following courses)^{2,3}

BIOL:3172	FA/SP	Evolution ³	4 sh
BIOL:4333	SP	Genes and Development ³	3 sh
BIOL:3713	FA	Molecular Genetics	4 sh
BME:5320	FA	Bioinformatics Techniques	3 sh
MICR:6268	SP	Biology and Pathogenesis of Viruses	2 sh
GENE:7191	SP	Human Molecular Genetics ³	3 sh
GENE:4213	FA	Bioinformatics	4 sh
GENE:5173	SP	Computational Genomics	3 sh
EPID:6250		Genetics & Epidemiology	3 sh
EPID:5241	SP	Statistical Methods in Epidemiology	4 sh

¹ Must satisfy this requirement during the first year as a graduate student. In exceptional cases, credit will be allowed at the discretion of the Graduate Affairs Committee for an equivalent advanced course taken previously.

² Must be taken as a graduate student.

³ The same course cannot be used to satisfy a requirement in part B and the elective requirement in part C.

MMED:6215	SP	Transcription and Multifunctional Regulation by RNA	1 sh
MMED:6220		Mechanisms of Cellular Organization	3 sh
MMED:6225	SP	Growth Factor Receptor Signaling	1 sh
MMED:6226	SP	Cell Cycle Control	1 sh
MMED:6227	SP	Cell Fate Decision	1 sh
BMED:5205	WI	Practical Bioinformatics	1 sh
BIOC:5243	FA	Biophysical Chemistry Module I	1 sh
NSCI:7235	FA	Neurobiology of Disease	3 sh
FRRB:7001	FA	Molecular and Cellular Biology of Cancer	3 sh

D. Seminars (5 sh chosen from the following courses)^{2,4}

ACB:6237	FA	Critical Thinking in Biochemistry and Molecular Biology	1 sh
ACB:6238	FA	Critical Thinking in Genetics	1 sh
ACB:6239	FA	Critical Thinking in Cell Biology	1 sh
ACB:6248	SP	Critical Thinking in Development	1 sh
BIOL:5117	FA	Topics in Molecular Genetics	1, 2 sh
BIOL:6188	SP	Seminar in Writing in the Natural Sciences	2 sh
GENE:6200	SP	Special Topics in Genetics ⁴	1 sh
RHET:7500	SP	Science Communication in the Digital Age	2 sh

E. Scholarly Integrity / Responsible Conduct of Research

<i>BMED:7270</i>	<i>Scholarly Integrity/Responsible Conduct of Research 1 (fall)</i>
<i>BMED:7271</i>	<i>Scholarly Integrity/Responsible Conduct of Research 2 (spring)</i>

Students will enroll in these courses in their second year in the Genetics Program. During their first year they must complete web based training modules of Collaborative Instruction Training Initiative (CITI).

F. ESL Requirement for Foreign Students

All foreign students for which an English proficiency evaluation is required must pass to the “B” level on the “University Request for Evaluation for TA Certification” form by the end of their 2nd year. If the student does not, they will be considered to be making insufficient progress and can be terminated. They will need to petition to the Executive Committee to continue, but there will be no guarantee that they will be allowed to do so.

G. Teaching

1. Teaching Requirement

During the course of their graduate studies, students are expected to gain experience in teaching and to establish their credentials in teaching excellence. Students are required to teach in at least two different courses during their graduate career with their teaching

⁴ For purposes of this requirement, the same seminar course(s) cannot be repeated if taught by the same instructor(s) without special permission from the Curriculum Committee. Seminar course offerings are quite dynamic, so additional courses may be included each year at the discretion of the Curriculum Committee. Other seminar courses may be used to satisfy the seminar requirement when approved on a year-by-year basis by the Curriculum Committee. The Special Topics in Genetics course (GENE:6200) may be repeated multiple times provided the topic differs from previous times the course was taken.

assignment being 1/4-time or greater in each case. MSTP students are required to do one teaching assignment. The Graduate Affairs Committee determines which Teaching Assistantships fulfill this requirement. Students who are ready to pursue their required TAs may either contact the Graduate Affairs Committee Chair or they may independently pursue Teaching Assistantships by contacting instructors directly. When a student secures a TAship independently s/he must still contact the Graduate Affairs Committee, who will still need to determine if the TAship satisfies the program requirement. The Genetics Graduate Affairs Committee will try, as possible, to balance hard/easy assignments, and diversity of teaching experiences.

2. Office of Graduate Teaching Excellence

Additional instruction in teaching, designed specifically for graduate students, is offered through the [Office of Graduate Teaching Excellence](#). The College of Education (COE) opened the Office of Graduate Teaching Excellence (OGTE) in Fall 2008. In partnership with the COE and the Graduate College, OGTE enables all University of Iowa doctoral students to complement their home discipline's curriculum and research training with the development of effective teaching skills. OGTE provides doctoral students with the knowledge and skills needed for success in the classroom when they accept academic positions upon graduation and/or after completion of post-doctoral training. OGTE's goal is to provide students who intend to enter academia with the tools and preparation to be effective teachers.

3. Graduate Certificate in College Teaching

The Graduate Certificate in College Teaching is offered through the University of Iowa Graduate College. In some cases, Genetics Program students will be allowed to complete the certificate's requirements during their time in the program. See Appendix III: Certificate in College Teaching at the back of this Graduate Student Manual for more information.

H. Laboratory Rotations

1. Purpose

The purpose of the rotation system is to provide students with information that will help them in the choice of a research sponsor. It is also intended to educate students about more than one approach to doing genetics research and provide them with personal contacts with as many of their peers and mentors as possible.

2. The Rotation System

- a. All students will be required to rotate among three laboratories during their first year in graduate school.

- b. The choice of laboratories will be determined by the student in consultation with the Graduate Affairs Committee and is subject to approval by the head of the laboratory. The committee will encourage the student to speak to as many faculty members as necessary to make an informed decision that takes into account the student's likely research interests. Students will be strongly encouraged, but not required, to do one rotation in a laboratory that may not be directly related to their probable areas of research interest.
- c. Students will register for research credit in each fall and spring term (see Section I.4 for more information on summer registration). It is expected that students devote a significant portion of their time to their rotation research. Faculty members in whose labs the student rotates should establish in advance the method by which the student's work will be evaluated. This may include a presentation or written report. Since students will rotate in more than one laboratory each semester, the two faculty supervisors involved will consult with each other to arrive at a joint evaluation of the student's work.
- d. For students beginning work with the start of the fall semester, the rotation schedule will be set up to permit ~12 weeks in each laboratory (e.g., August 20 – November 9; November 12 – February 8; and February 11 – May 3). The middle rotation includes 1 week for winter break (e.g. December 24 – January 1). Students should discuss with their rotation sponsor an acceptable arrangement for time away from the laboratory.
- e. Near the end of the three rotations, students will give a short presentation on the one rotation of their choice. This need not be selected based on the laboratory of affiliation. Students can present from any rotation they made, with the rotation mentor's approval.
- f. Alternative arrangements can be made (subject to approval by the Graduate Affairs Committee) for MSTP students or DSA fellows, for students with extensive graduate training prior to coming to Iowa, and for students who have a strong reason to begin their thesis research immediately.
- g. The student must affiliate with a research sponsor immediately upon completion of the third rotation, at which time the research sponsor will assume responsibility for the student's stipend support. (The student's eventual choice of research sponsor need not be limited to faculty members in whose labs the student rotated, in consultation with the Program Director.)
- h. At least one rotation must be in a "wet" lab (i.e. not a computational lab).

I. General Requirements (Hours, GPA, Summer Registration, etc.)

1. Students are required to take 15 semester hours each semester during their first two years in the program. Additional genetics or other biology, chemistry, mathematics, and physics courses will increase the number of hours taken toward the degree. These courses should be selected by students after consultation with their advisers and/or thesis committees. Such course programs will be tailored to fit individual students' research interests, abilities, and career objectives. As additional courses become available, the Curriculum Committee will add them to the groups of electives. In addition, the student must meet Graduate College requirements (minimum of 72 hours of registration, plan of study, etc.).
2. The student must maintain a cumulative grade point average (GPA) of 3.0 in coursework. No research or independent study taken during a student's graduate training counts in the GPA for this purpose.
 - a. In calculating the GPA required for purposes of meeting the Program's 3.0 requirement, plus and minus grades will be considered. Grades received for courses below the 100 level (in the instance of a student making up deficiencies) should not count in the student's GPA; if the grade is a D or F, the student is required to repeat the course. Students who take a course for second-grade option will have both grades counted in calculating the GPA required for purposes of meeting the Program's 3.0 requirement.
 - b. The student shall be placed on academic probation by the Graduate College if, after completing 9 hours of graded (A, B, C, D, F) graduate work at The University of Iowa, the student's cumulative grade-point average falls below 3.00. A student will be returned to good standing when his or her cumulative grade-point average becomes equal to or greater than 3.00. If, after completing 9 more semester hours of graded (A, B, C, D, F) graduate work at this University, the student's cumulative grade-point average remains below 3.00, the student shall be dropped from the degree program and denied permission to reregister within any Graduate College doctoral degree program. The student may apply for and be accepted into a nondoctoral degree or certificate program.
3. All students must inform the Program Office if they make registration changes (i.e. add or drop courses) following the deadline provided by the program. After the semester begins, no student will be allowed to drop a course without authorization by the program.
4. Summer Registration

Graduate students in the Program normally do NOT register for summer term. There are 3 exceptions to this: (1) First year students, if they take summer courses, need to be registered. (2) Students taking the Comprehensive Examination, who are registered for the summer. (3) Students who are defending their PhD during the summer term. Outside of these exceptions, students will NOT register for the summer. (This policy is broadly in effect for all of the Biomedical-related programs.)

5. Student Seminar

The Genetics Student Representatives coordinate a Student Seminar. Attendance at the Genetics Student Seminar is **required** for ALL Genetics PhD Program students. If a student has a legitimate schedule conflict that prevents her/him from attending Student Seminar, s/he should request a waiver from the Student Representative.

J. Example schedule

First Year		
<i>First semester:</i>	<i>sh</i>	<i>Notes</i>
GENE:6150 Genetic Analysis (GABS)	3	Required
BMED:5207 Principles of Molecular and Cellular Biology	3	Required
GENE:7301 Graduate Research in Genetics	9	Research rotation
Total:	15	
Second semester:		
<i>Second semester:</i>	<i>sh</i>	<i>Notes</i>
BIOL:4333 Genes and Development	3	One of 4 courses to fulfill requirement
GENE:6200 Special Topics in Genetics	1	Required each year pre-comps
GENE:6234 Basic Biostatistical Methods with Genetics Applications	1	Required
MMED:6215 Transcription and Multifunctional Regulation by RNA	1	Elective
MMED:6226 Cell Cycle Control	1	Elective
GENE:7301 Graduate Research in Genetics	8	Research rotation
Total:	15	

International Students will fulfill ESL requirements during summer session

Second Year:

<i>First semester:</i>	<i>sh</i>	<i>Notes</i>
BIOL:3172 Evolution	4	Used here to fulfill elective
BIOL:5117 Topics in Molecular Genetics	2	Seminar elective
ACB:6238 Critical Thinking in Genetics	1	Seminar elective
BMED:7270 Scholarly Integrity/Responsible Conduct of Research 1	0	Required
GENE:7301 Graduate Research in Genetics	8	Research rotation
Total:	15	
Second semester:		
<i>Second semester:</i>	<i>sh</i>	<i>Notes</i>
GENE:7191 Human Molecular Genetics	3	Used here to fulfill elective
GENE:5173 Computational Genomics	3	Elective
GENE:6200 Special Topics in Genetics	1	Required each year pre-comps
BMED:7271 Scholarly Integrity/Responsible Conduct of Research 2	0	Required
GENE:7301 Graduate Research in Genetics	8	Research rotation
Total:	15	

V. Genetics Program Subtrack: Computational Genetics

The recent explosion of data generated by the fields of genetics and molecular biology has created a demand for sophisticated computational methods to extract meaningful information. Bioinformatics has emerged as an important new discipline in the biosciences promoting a close working relationship between genetics and the computational sciences. To meet the needs of students interested in this area of research, a subtrack has been formulated within the Genetics PhD program that leads to a PhD in Genetics with a specialization in Computational Genetics.

Due to the present shortage of researchers with bioinformatics skills, the training of scientists whose primary professional identification and disciplinary affiliation is bioinformatics and computational biology has been identified by NIH as an urgent need. This area includes the use of theory, computer implementation and application to the broad spectrum of molecular research in biological & biomedical fields including molecular sequence and structure, molecular function, cellular function, physiology, genomics, genetics, computational modeling, population biology, mathematical biology, and analysis of complex systems. The demand for bioinformatics professionals is most pronounced among biotechnology and pharmaceutical companies. The requirements are for people who have substantial training in computer science and are well grounded in biology. In particular, there is a significant demand for people who can communicate with both biologists and computer scientists.

Essential details concerning the subtrack are summarized below. For more information or to express interest in becoming a Computational Genetics subtrack student, please contact the Director of the Genetics Program.

A. *Computational Genetics Curriculum*

All students in the computational genetics subtrack, regardless of their disciplinary origin, are required to master a set of core concepts in (1) Genetics; (2) Computing; (3) Statistics; (4) Bioinformatics Tools and Applications and (5) Seminar and Responsible Conduct. These requirements can be met by enrolling in upper level undergraduate courses prior to matriculation or by a combination of undergraduate and graduate courses selected to address individual student needs after matriculation. Satisfactory completion of the prescribed courses is to be accomplished during the first two years of the program. Special topics courses in areas of direct impact to the thesis may be taken as electives in post-comp years.

1. Prerequisites⁵

Biochemistry (BIOC:3110 or BIOC:3120 <i>and</i> BIOC:3130 or equivalent)	3-8 sh
Organic Chemistry (2 semesters)	6-8 sh
Fundamental Genetics	3-4 sh
Introductory Physics, one year, college level	6-8 sh
Calculus or Statistics, one year of either	6-8 sh

⁵ Note: These prerequisites would be typical for a student entering with a Biology background. Students entering with a Computational background may need to make up missing courses; these students will require fewer computer language courses, for example.

2. Genetics (9 sh) (assuming Fundamental Genetics and Biochemistry are taken as prerequisites)
 - a. Principles of Molecular and Cellular Biology (BMED:5207; 3 sh)
 - b. Core Genetics (BIOL:3713, BIOL:3172, BIOL:4333, GENE:7191, or equivalent; 3-4 sh)
 - c. Genetic Analysis of Biological Systems (GENE:6150; 3 sh)
3. Computing (6-9 sh) (credit for previous classes available, see IV.M.a.2)
 - a. Programming Languages and Tools (CS:3210, may be taken multiple times)
 - b. Other appropriate computing courses (e.g., Intro to R programming: BIOS:5510)
4. Statistics (3 sh)
 - a. Biostatistics (STAT:3510 or equivalent)
5. Bioinformatics Electives (12 sh)
 - a. Bioinformatics (BIOL:4213)
 - b. Bioinformatics Techniques (BME:5320)
 - c. Computational Genomics (BME:5330)
 - d. Data Visualization and Data Technologies (STAT:4580)
 - e. Advanced Biostatistical Computing (BIOS:7330)
 - f. Knowledge Discovery (MSCI:4480)
 - g. Machine Learning (CS:5430)
 - h. Deep learning (IE:6380)
 - i. Machine Learning for Biomedical Data (BIOS:6720)
 - j. Regression and ANOVA for the Health Sciences (BIOS:5120)
6. Seminar and Scholarly Integrity (2 sh)
 - a. Scholarly Integrity/Responsible Conduct of Research (BMED:7270 & BMED:7271)
 - b. Special Topics in Genetics (GENE:6200) taken at least twice

B. Computational Genetics Example Schedules

Example 1. Students entering with a computational background

(assuming Biochemistry already taken as prerequisite)

First Year

<i>First semester:</i>	sh	<i>Second semester:</i>	sh
BIOL:2512 Fundamental Genetics (as pre-req)	4	STAT:3510 Biostatistics	3
BME:5320 Bioinformatics Tech & Tools	3	BIOL:3172 Evolution	4
BMED:7270 Scholarly Integrity/Responsible Conduct of Research 1	0	GENE:6200 Special Topics in Genetics	1
GENE:7301 Graduate Research in Genetics	8	GENE:7301 Graduate Research in Genetics	7
Total:	15	Total:	15

Second Year:

<i>First semester:</i>	sh	<i>Second semester:</i>	sh
xxxx:xxxx Elective in Bioinformatics	3	GENE:5173 Computational Genomics	3
GENE:6150 Genetic Analysis of Biological Systems	3	xxxx:xxxx Elective in Bioinformatics	3
BMED:5207 Principles of Molecular & Cellular Biology	3	GENE:6200 Special Topics in Genetics	1
GENE:7301 Graduate Research in Genetics	5	GENE:7301 Graduate Research in Genetics	8
		BMED:7271 Scholarly Integrity/Responsible Conduct of Research 2	0
Total:	15	Total:	15

Example 2. Students entering with a genetics/life science background

First Year

<i>First semester:</i>	sh	<i>Second semester:</i>	sh
GENE:6150 Genetic Analysis of Biological Systems	3	xxxx:xxxx Elective in Computing or Informatics	3
BMED:5207 Principles of Molecular & Cellular Biology	3	STAT:3510 Biostatistics	3
BMED:7270 Scholarly Integrity/Responsible Conduct of Research 1	0	GENE:6200 Special Topics in Genetics	1
GENE:7301 Graduate Research in Genetics	9	BIOL:3713 Molecular Genetics	3
		GENE:7301 Graduate Research in Genetics	5
Total:	15	Total:	15

Second Year:

<i>First semester:</i>	sh	<i>Second semester:</i>	sh
xxxx:xxxx Elective in Bioinformatics	3	GENE:5173 Computational Genomics	3
BME:5320 Bioinformatics Tech & Tools	3	xxxx:xxxx Elective in Bioinformatics	3
CS:3210 Programming Languages and Tools	3	GENE:6200 Special Topics in Genetics	1
GENE:7301 Graduate Research in Genetics	6	GENE:7301 Graduate Research in Genetics	8
		BMED:7271 Scholarly Integrity/ Responsible Conduct of Research 2	0
Total:	15	Total:	15

C. Computational Genetics Course descriptions

(a) Core Group

1) Genetics

BIOL:2512 Fundamental Genetics (4 sh): Pre-requisite coursework on nature, function of genetic material: classical, molecular, developmental aspects.

One of:

- Evolution (4 sh; BIOL:3172)
- Genes and Development (BIOL:4333)
- Molecular Genetics (BIOL:3713)
- Human Molecular Genetics (GENE:7191)

BMED:5207 Principles of Molecular & Cellular Biology (3 sh): Protein structure, genomes, nuclear organization, prokaryotic transcription, eukaryotic transcription, epigenetics, RNA processing, protein translation/modification, biomembranes, membrane trafficking, cell biology methods, cell migration, signaling, and cell cycle.

GENE:6150 Genetic Analysis of Biological Systems (3 sh): Genetic techniques and approaches for analysis of biological processes; comparison of strengths, weaknesses of a variety of experimental systems.

2) Computing

Demonstrated competency in at least one programming language [e.g. Java (ECE:3330) or C++ (CS:3620)]. Full credit for this course requirement (up to 6 sh of credit) can be approved for coursework already taken, at the discretion of the Graduate Affairs committee.

3) Statistics

STAT:3510 Biostatistics (3 sh) Statistical methods primarily for research in health sciences and related fields; descriptive statistics, estimation, test of hypotheses. A student may select a more advanced statistics course in coordination with their advisor, and with approval by the Curriculum committee.

4) Bioinformatics Electives

Elective in Genomics or Bioinformatics. These electives should be chosen in consultation with your advisor from available courses to strengthen your tools and techniques in computational genetics. See the listing in section IV.K (Computational Genetics Curriculum) for a list of potential/suggested electives. Other elective courses can be substituted, with approval of the Curriculum Committee.

5) Seminar and Scholarly Integrity

GENE:6200 Special Topics in Genetics (1 sh): Current research in a selected field of genetics: different topic each year; companion to a genetics seminar series.

BMED:7270 Scholarly Integrity / Responsible Conduct of Research 1 (0 sh)

BMED:7271 Scholarly Integrity / Responsible Conduct of Research 2 (0 sh)

VI. Genetics Program: MSTP Curriculum

MSTP students affiliating with the Genetics PhD Program have some unique characteristics that call for specialized curriculum requirements. These students enter the Genetics program with 2 years of medical school coursework completed.

Compliant to the MSTP MOU regarding preclinical medical curriculum included in MSTP students' plan of study. The following courses are approved by the Graduate College for inclusion in total number of PhD hours required to graduate (72 sh).

Medical Gross Anatomy	5 sh
Foundations of Medical Science	5 sh
Mechanisms of Health and Disease I	5 sh
Mechanisms of Health and Disease II	5 sh
Mechanisms of Health and Disease III	5 sh
Mechanisms of Health and Disease IV	5 sh

For these, the Genetics Program will allow 10 sh of credit. Thus, the core requirements will be considered as satisfying the Genetics Program electives.

Mechanisms of Health and Disease I	5 sh
Mechanisms of Health and Disease III	5 sh

The core requirements for the Genetics PhD Program will be satisfied by taking 9 additional sh of coursework relevant to genetics or computational genetics approved by the Graduate Affairs Committee on an individual basis.

The seminar requirement, normally 5 sh, will be satisfied by taking the Genetics seminar course (GENE:6200 Special Topics in Genetics) twice. Grand Rounds will satisfy the remaining 3 sh of this requirement.

MSTP students are required to take the Scholarly Integrity / Responsible Conduct of Research 1 & 2 courses (BMED:7270 & BMED:7271).

VII. Choosing a Thesis Committee and the First Meeting

The Thesis Committee, which is normally chosen and approved by the end of the second academic year in the program (May 15th of second year), will be chaired by the research adviser.

Four of the five Thesis Committee members must be members of the Genetics PhD Program, and one member must be tenure-track University of Iowa Graduate Faculty from outside the Genetics Program. To represent a reasonable diversity of research interests, no more than three members may be from any one department.

The research adviser does not participate in any aspect of the Comprehensive Examination. Instead, an additional ad hoc member must be chosen from the Genetics Program Faculty to participate in the Comprehensive Exam in place of the research adviser. The proposed composition of the Thesis Committee and the Comprehensive Exam Committee must be submitted to the Graduate Affairs Committee for approval.

The student must schedule a pre-comps THESIS committee meeting approximately six months prior to anticipated date of the comprehensive exam (the ad hoc member should attend as well if possible). This is typically before the end of the second year in the program (May 15th). The thesis committee meeting will be chaired by the research adviser. In preparation for this meeting the student will submit the completed thesis proposal to the committee. The thesis proposal will obviously have significant input from the thesis advisor. This meeting, and the thesis proposal itself, will NOT be evaluated as part of the Comprehensive Examination. Rather, this meeting will achieve three major goals. First, it will encourage the student to think about the thesis project early (including literature review), rather than postponing this until after the Comprehensive Examination. Second, it will allow the student to practice writing a proposal (with adviser's help) and to present it to the committee. Third, it will inform the Comprehensive Examination Committee of the thesis topic, so this committee can make an informed decision regarding relatedness of the Comprehensive Examination proposals. In addition to these benefits, writing a formal thesis proposal also better prepares the student for the thesis project, and can form the basis of an individual fellowship application, which is also strongly encouraged.

It is highly recommended that the thesis proposal is prepared in the format (and on actual forms, if available) of a doctoral fellowship application appropriate to your research and eligibility. This will serve the purpose of the thesis proposal AND it will facilitate your actual submission of the fellowship application after polishing in response to your thesis committee feedback. Length of this proposal is 20 double-spaced pages, 11 point font, not including figures and references, OR as dictated by the fellowship application instructions.

IX. The Comprehensive Examination

A. Requirements for the Timing of the Comprehensive Examination

1. Graduate students who enrolled initially for a summer session or a fall semester must take the comprehensive examination (defend their proposals) by January 15th following the second year. Students who fail to meet this deadline will not be eligible to continue in the program. For students who enroll initially in a spring semester, the deadline will be 6 months after completing 4 full semesters of graduate work (not including summer sessions). MSTP students will schedule their comprehensive exam in consultation with their research advisor and the Program Director, typically during their second year in the Genetics Program.

B. Requirements for Membership of Comprehensive Examination Committee

1. The Comprehensive Examination Committee shall consist of 5 members who will be the same as members of the Thesis Committee, with the exception that the thesis adviser is replaced by an ad hoc member on the Comprehensive Examination Committee. Four of the Comprehensive Examination Committee members must be members of the Genetics PhD Program. To represent a reasonable diversity of research interests, no more than three members may be from any one department and one member must be tenure-track University of Iowa Graduate Faculty from outside the Genetics Program.
2. The ad hoc member will be chosen by the student and the student adviser with the approval of the Graduate Affairs Committee (GAC) chairperson. The ad hoc member ordinarily will not be a permanent member of the Thesis Committee. Students must leave sufficient time to achieve GAC approval of their committee membership prior to the pre-comps meeting.
3. The thesis adviser will select one member of the Comprehensive Examination Committee to act as chair during administration of the comprehensive examination.
4. The proposed Comprehensive Examination Committee, with ad hoc member and chair designated, will be submitted to the Graduate Affairs Committee for approval.
5. The Comprehensive Examination Committee must be in place prior to submission of propositions.
6. The thesis adviser will not be present during administration of the comprehensive examination.

REQUIRED DEADLINES:

These are the required deadlines to be met PRIOR TO JANUARY 15th of your THIRD year.

Comprehensive Exam Schedule

[60-day limit from preliminary submission to final submission]

Students must work with program office and their committee to have exam completed by January 15th

Time line				
Dates below give last possible dates for each step				
Sept. 16	Oct. 21	Oct. 28	<u>Minimum 2 weeks before oral</u>	Jan. 15
Notify Program Office of exam plans and complete Plan of Study	Submit abstracts to Committee	Student notified of committee decision in 1 week	Submit final proposals to Committee by the end of December.	Oral Exam Scheduled by January 2

C. Proposals

The Chair of the Comprehensive Exam Committee will meet with the student to discuss the examination format. The student will prepare two original research propositions (up to four double-spaced pages, not including figures and references) on topics chosen from the literature unrelated to their major research interest, and will submit them to the committee Chair (hard copy and electronic). “Unrelated” is to be interpreted by the Comprehensive Examination Committee using the following considerations. A typical thesis project involves three major properties:

1. The biological problem or process
2. The research organism
3. The techniques or methodological approaches

Ideally, the comprehensive exam proposition topics will differ from the thesis project in all three of these properties. It is suggested that at least two of these be different. Final determination of what is sufficiently unrelated will be left to the Comprehensive Examination Committee, and the student may consult with the Comprehensive Exam Committee Chair for more specific guidance in preparation of the pre-proposals.

The Chair will distribute the propositions to the committee. After reviewing the propositions (1 week), the student will be notified if the abstracts are accepted and if so, which one of the propositions is to be expanded into a detailed proposal to serve as the basis for the comprehensive examination. If one of the two propositions is deemed unsatisfactory, then the student must improve this proposition to meet the committee’s standards within a time-frame specified by the committee. If both propositions are deemed unsatisfactory by the examination committee then the student is required to prepare two new propositions within a time frame to be specified by the committee. If the second set of propositions are also deemed unsatisfactory by the examination committee, then this will be considered a fail for the student and s/he must wait 4 months prior to the second and last attempt at the comprehensive examination (see section G-5).

The basic ideas and concepts in the unrelated written proposal should be original thoughts from the student. However, the student is free to consult with faculty members and other graduate students concerning the details of certain techniques or the feasibility of a particular approach. The input of faculty should be limited to factual information. The thesis adviser should not be involved in preparation of the unrelated written proposal. In addition, students are encouraged to organize mock comps involving other graduate students as part of the preparation process.

After reviewing the propositions (1 week), the committee will ask the student to expand one of the propositions into a detailed proposal as part of the comprehensive examination. Since the proposal is a major component of the examination, it should be of the highest quality. A poor proposal can (in exceptional cases) be rescued by a good oral examination.

In preparation of the full proposal, the student must meet the 2 week timeline to allow the committee sufficient time to consider the proposal. Failure to do so will result in failure of the comprehensive exam.

There is a sixty-day limit between the notification of which proposition to expand, and the final submission of the complete Comprehensive Examination proposal. This is a maximum limit, and can often be done in a shorter time.

D. Proposal Preparation

The construction of an experimentally feasible research proposal is a test of both imaginative and critical ability of the candidate. The following statements provide additional information and direction for a graduate student submitting a proposal for the comprehensive examination.

The proposal should include the following:

1. A concise summary of the pertinent information upon which the proposal is based, adequately but not exhaustively referenced. This summary should logically develop a point of view to be used in stating the hypothesis. It should not contain lengthy quotations from the literature.
2. A concise and precise statement of the proposal.
3. A concise statement of the experimentation to be performed including the purpose of each experiment, a general summary of protocol, and interpretation of the anticipated results.
4. A statement of the significance of the project.

The maximum length of the proposal is 20 pages, double-spaced with 11 point font, not counting references or figures. While some flexibility in the exact length can be justified (in consultation with the Comprehensive Examination Committee Chair), it cannot be emphasized too strongly that the written presentation should show clarity, simplicity, and precision.

Proposals will be submitted to the examination committee at least two weeks prior to the scheduled date of the examination. An oral examination will be conducted on whatever is submitted; there is no opportunity for revision.

E. Criteria for Evaluation of the PhD Comprehensive Examination

1. *Clarity of written proposal:* Is it easy to see what is being presented? Is the background information clear enough to understand the problem? Is the proposed solution to the problem developed in a logical sequence? Are highly specialized terms or abbreviations explained?
2. *Importance of proposal:* Is the problem relatively minor or would its solution result in an important contribution? Is the problem so narrowly conceived that only a few approaches are possible to solve it? Is the project too vast to be solved by alternative sets of experiments? What is the value of a solution to the problem? What are the biological or practical implications of the research?
3. *Creativity:* Is the approach entirely new in respect to the problem? Are the ideas novel and imaginative or ordinary? Does the solution require the development of a new technique or instrument or a new way to use existing equipment?
4. *Knowledge of the subject and methods:* Does the student understand the genetics of the problem area; what is known and what is not? Is the student's knowledge superficial or is it relevant to solving the problem? Is the student sufficiently aware of the limitations of the methods used to solve the problem?
5. *Suitability of methods:* Are the proposed methods the best ones? What are alternatives? Does the student recognize experimental difficulties in the selection or use of methods?

Would these methods be suitable for solution of the problem in a reasonable period of time?

6. *Reasoning and data interpretation:* Can the student interpret all reasonable data so as to come to a conclusion or to suggest another experiment? Have alternative interpretations been considered sufficiently? When presented a set of data, can the student interpret it properly?
7. *Ability to explain difficult or unusual concepts:* This pertains to the student's oral performance rather than the written proposal which was evaluated according to criteria listed above. Is the student understandable or confusing in explaining difficult material?
8. *Knowledge of material peripheral to the proposition:* Are there serious gaps in the student's knowledge of genetics when questioned about material somewhat removed from the proposition?

F. Oral Comprehensive Examination

The oral comprehensive examination should normally be taken at the end of the second year and must be completed no later than January 15th of the third year. It will be approximately 2-3 hours in length **and will cover the full proposal prepared for this purpose, and any other areas of genetics the committee feels are relevant.** Following successful completion of the comprehensive examination and courses in the plan of study, the committee will certify the student to the program as a candidate for the PhD degree.

A formal report of the student's performance on the comprehensive examination will be placed in his/her permanent file. This report should be sufficiently detailed and approved by all members of the committee for the first and, if applicable, the second attempt (see section G-5).

G. Protocol for Taking the Oral Comprehensive Examination

1. It is the responsibility of the student and research sponsor to notify the Genetics Program Office of the intention to take the Comprehensive Examination. The Program Office completes and submits the Plan of Study along with the Request for Doctoral Comprehensive Examination to the Graduate College at least two weeks prior to the scheduled date of the oral examination.
2. It is the responsibility of the Comprehensive Examination Committee Chairperson to obtain the student's file (from the Program Office), including the form that must be signed by the members of the examination committee, in advance of the examination. The student's file must be kept confidential and must be returned along with the signed form to the Program Office **within 24 hours** after the examination.
3. Four of the five committee members must vote positively ("satisfactory") that a student has passed the examination for the student to receive a passing grade. If two members vote unsatisfactory, the grade reported to the Graduate College will be an "unsatisfactory," regardless of the votes of the remaining members of the committee.
4. If one faculty member votes unsatisfactory, and one or more of the remaining faculty members vote reservations, the student will receive "**reservations**". **The Comprehensive Exam Committee will set the specific conditions required for lifting the reservations and the time limit within which these conditions must be met.** The conditions and time limits

must be presented to the student in writing and must be sent by the Program Office to the Graduate College ***no more than 3 working days*** after the exam is taken. If the conditions are not met satisfactorily in the specified time, the comprehensive exam decision will be "unsatisfactory", and will be considered a fail for the student.

5. *Second attempt:* If a student fails the Comprehensive examination s/he may be allowed, with the advisor's support, to begin the comprehensive exam process again for a second attempt after a minimum of 4 months.
 - a. An additional committee member will join the Comprehensive Examination Committee and will participate in all aspects of the second attempt, including reviewing the propositions and the Oral Comprehensive examination (with vote). Five of the six committee members must vote positively ("satisfactory") that the student passed the examination for the student to receive a passing grade. Two (out of six) "unsatisfactory" votes in this second attempt will be considered an "unsatisfactory" and the grade reported to the Graduate College, regardless of the votes of the remaining members of the committee.
 - b. An additional committee member will join the Comprehensive Examination Committee and is expected to be an active participant during the Oral Comprehensive examination although with no formal satisfactory/unsatisfactory vote. Two "unsatisfactory" votes in this second attempt will be considered an "unsatisfactory" and the grade reported to the Graduate College, regardless of the votes of the remaining members of the committee.

This additional member will be assigned by the Direction of the Genetics program and customarily be a member of the Graduate Affairs committee (GAC) to provide similar evaluation criteria among students. The limitation of no more than three members from any one department is maintained when considering this sixth, *ad hoc*, Comprehensive Examination Committee member.

A student must pass the comprehensive exam by the second attempt in order to remain in the program.

6. Once the student has passed the Comprehensive Examination and has completed 72 semester hours in residence, he or she will be eligible to register in subsequent semesters as a post-comprehensive student (i.e., Doctoral Continuous Registration GRAD:6002:0001).

H. *Additional Recommendations in Preparing for the Oral Comprehensive Examination*

1. You will be expected to know the most important literature. One recommendation is to identify the 10 most important papers from your reference list, and make notes regarding the salient information in those papers, so that you can quote (author/date) as you respond to questioning during your oral exam. For the remaining papers, identify the key bits of information that are relevant to your proposal.
2. Use a basic genetics textbook, and spend some time browsing through it to refresh your memory of how some of the basic principles work. You should already know these principles, but it may have been some time since you studied them, and this approach will make them more accessible to you when you are on your feet in front of the committee.

You will not remember everything, but you should be able to remember some important basics and demonstrate a working knowledge of them.

3. The subject of the oral exam will be based directly on your written comprehensive exam proposal (not your thesis proposal), AND any other areas of genetics the committee feels are relevant. Therefore, it is important to know some basic genetics background, especially any areas with some connection to your comprehensive exam proposal.

I. *Responsibilities of the Comprehensive Examination Committee Chair*

1. Read and understand the Genetics Program Comprehensive Exam procedures.
2. Provide consultation and general direction about procedures, formats, relatedness to thesis, etc.
3. Refrain from providing guidance about specific experiments proposed, though some general guidance as to proposed approaches or scope may be provided.
4. Provide consultation regarding changes to the proposal after the proposition has been approved. The student should stick roughly to the proposition, with flexibility to make minor changes in specific proposed experiments. However, sometimes a more major change is required, usually based on further reading, to generate a defensible proposal—these should be discussed with the committee chair.
5. Responsible for enforcing submission deadlines, receiving submissions from the student, circulating proposals to committee members, assimilating feedback from committee members, and corresponding with the student.
6. Collect signatures from committee members on exam form, and submit form and report to the Genetics program office.

X. The Thesis

A. *The Thesis Committee*

As described on page 23, the Thesis Committee, which is chosen and approved by the end of the second academic year in the program (May 15th of second year), will be chaired by the research adviser.

Four of the five Thesis Committee members must be members of the Genetics PhD Program, and one member must be tenure-track University of Iowa Graduate Faculty from outside the Genetics Program. To represent a reasonable diversity of research interests, no more than three members may be from any one department.

The proposed Thesis Committee must be submitted to the Graduate Affairs Committee for approval.

The first committee meeting will be held before the end of the second year, typically by May 15th). In preparation for this meeting, the student, with the help of the adviser, will prepare the thesis proposal and distribute it to the Thesis Committee. (See Section IV.A. for more information about preparation of the thesis proposal.) During this meeting the thesis research plan will be presented and the format for the upcoming Comprehensive Exam will be

discussed. The ad hoc member chosen to replace the thesis advisor on the Comprehensive Exam Committee, will normally attend this meeting.

The Thesis Committee serves as an advisory body for preparation of the thesis. The Thesis Committee's responsibilities are as follows:

1. To assist the student in deciding on a plan of study.
2. To meet with the student at least annually to review progress in research (and courses) and provide a written report to the Graduate Affairs Committee (copy of the report should be sent to the student).
3. To administer the oral dissertation examination (thesis defense) upon completion of all other degree requirements.

The student, thesis advisor or thesis committee may request a meeting at any time.

B. *Protocol for Taking the Thesis Examination*

1. It is the responsibility of the student and research adviser to notify the Genetics Program Office of the place, date, and hour of the Thesis Examination and to provide a thesis title 4-6 weeks prior to the exam date. The Program office must submit the Request for Final Examination and the thesis title to the Graduate College *at least* 3 weeks prior to the thesis exam.
2. The student must give the final draft to all members of the Thesis Committee at least **2 weeks** before the final examination. Failure to meet this deadline will require re-scheduling the final examination so that all committee members have at least two weeks to read the thesis.
3. When a thesis chapter includes work from others, it is the responsibility of the student and research adviser to include an introductory page indicating the specific contribution of the student. This is particularly important when the work is, or is prepared to be, a published article.
4. Although the Genetics program does not establish a firm minimum number of publications as requirement to be awarded the Ph.D. degree, it is the expectation of the program that all students will have their thesis research published in peer-reviewed journals. When no thesis-related research has been published or submitted for review at the time of the thesis defense, the research advisor and thesis committee should include a brief description of the causes for this anomaly to the program office together with a final copy of their dissertation.
5. The final PhD examination consists of a formal seminar presented to the public, including opportunity for questions, comments and discussion. The seminar will be followed by a meeting with the thesis committee for the final thesis defense.
6. The PhD degree is not awarded until the thesis is signed with all required revisions being completed before this signing.

7. *Graduates of the Genetics PhD Program are required to submit a final copy of their dissertation to the Genetics Program office. This includes the signed abstract page. The copy can be submitted bound or unbound.*

Thesis Exam Schedule

4-6 months prior to exam	4-6 weeks prior to exam	2 weeks prior to exam
Meet with Thesis Committee	Notify Program Office of date, time, place and thesis title	Submit final draft of thesis to Thesis Committee

XI. Dismissal of Graduate Students from the Genetics PhD Program

A. Committee Responsibilities

Two committees are responsible at different stages for the primary review of the progress of individual graduate students. These are initially the Graduate Affairs Committee and subsequently the student's Thesis Committee. The Graduate Affairs Committee will also be responsible for advising the student and reviewing the student's progress if at any time it becomes necessary for the student to form a new thesis committee.

B. Procedures

If, in the judgment of the responsible committee, the student is not making satisfactory progress toward the PhD degree, the procedure shall be as follows:

1. The student will be advised by the committee of potential dismissal and will be given an opportunity to meet with the committee and defend his/her work. Following any such meeting the committee will forward to the Director and to the student its written conclusions and recommendations. These recommendations may be for no action, for a probationary period to be followed by a new review, or for dismissal.
2. If the committee recommends dismissal, the Executive Committee must review the matter with the student and with the recommending committee. For example, the Executive Committee could resolve some cases by helping the student form a new Thesis Committee. Any member of the Executive Committee who participated in the original recommendation shall abstain in subsequent decisions.
3. If, after the review of the Executive Committee, the student continues to believe that dismissal is improper, the student may request in writing that an ad hoc Appeals Committee be established to consider the case. In this request, the student will nominate five faculty members and two graduate students in the Genetics PhD Program for the Appeals Committee.
4. From among those nominated, the Executive Committee shall appoint three faculty members to the Appeals Committee and designate its chairperson. The Executive Committee shall also appoint one of the nominated graduate students to be a reviewer who will meet with the Appeals Committee in all of its work but who will not vote.
5. The Appeals Committee chairperson shall convene the committee promptly. The committee will give the student an opportunity to discuss his/her grievances with it and will review all pertinent materials.
6. Upon completion of its review, the Appeals Committee shall communicate its findings and decision in writing to the student and to the Executive Committee. These reports should include the major considerations in the decision.

Note: This procedure does not apply to an appeal of a decision on passage or failure of the comprehensive examination or PhD Thesis defense.

XII. Best Practices for Graduate Students and their Research Advisors

The progress, development and success of a graduate student hinges on the commitment of both the student and the research advisor. Basic principles of best practices in mentoring and graduate student life appear in the two lists that follow. Graduate students should be aware of what is necessary for their success and their advisors likewise should be aware of practices that promote their students' best interests.

Although the concepts of commitment and responsiveness underlying the lists of expectations apply to all disciplines, the specifics of these principles vary considerably among the biological sciences, physical sciences, social sciences, and humanities. The following guidelines are generally construed and are generally appropriate for students in the Genetics Program, but not every detail will apply to every student.

A. *Expectations of Graduate Students*

1. A graduate student has the primary responsibility for successful completion of his or her degree. A graduate student should be committed to his or her graduate education and should demonstrate this by efforts in the classroom and in research. A graduate student is expected to maintain a high level of professionalism, self-motivation, engagement, excellence, scholarly curiosity, and ethical standards.
2. A graduate student should meet regularly with the research advisor and provide updates on the progress and results of ongoing research.
3. A graduate student should be knowledgeable of the policies and requirements of the graduate program, the graduate college, and the institution. The student should strive to meet these requirements, including teaching responsibilities.
4. A graduate student should work with the research advisor to develop a thesis/dissertation project. This will include establishing a timeline for each phase of the work. The student should strive to meet the established deadlines.
5. A graduate student should work with the research advisor to select a thesis/dissertation committee. The student should meet with this committee at least annually (or more frequently, according to program guidelines) and be responsive to the advice of and constructive criticism from the committee.
6. A graduate student should discuss policies on authorship and attendance at professional meetings with the research advisor. The student should work with the advisor to submit all relevant research results that are ready for publication in a timely manner prior to graduation.
7. A graduate student should attend and participate in meetings, seminars and journal clubs that are part of the educational program.
8. A graduate student should seek opportunities for career enhancement, including individual fellowships. The student should work with the research advisor in the preparation and submission of the fellowship applications.

9. A graduate student should contribute to maintaining a research environment that is intellectually stimulating, emotionally supportive, safe, and free of harassment.
10. A graduate student must participate in the institution's Responsible Conduct of Research Training Program and practice those guidelines in conducting thesis/dissertation research.
11. A graduate student should discuss policies on work hours, sick leave and vacation with the research advisor or graduate director. The student should consult with the advisor in advance of any planned absences.
12. A graduate student should acknowledge primary responsibility to develop a career following the completion of the doctoral degree. The student should seek guidance from available resources, including the research advisor, the post-comps advising committee, career counseling services, thesis/dissertation committee, and any other mentors.
13. A graduate student should comply with all institutional policies, including academic program milestones. The student should comply with both the letter and spirit of all best practices and policies of the institution.

B. *Expectations of Research Advisors*

1. The research advisor should be committed to the education and training of the graduate student as a future member of the research community.
2. The research advisor should meet one-on-one with the student on a regular basis. The advisor should provide timely feedback on the student's written work to facilitate ongoing progress on the thesis/dissertation.
3. The research advisor should be knowledgeable of the requirements and deadlines of his/her graduate program as well as those of the institution, including teaching requirements and human resources guidelines. The research advisor should guide the student in these areas to ensure academic and professional success of the student.
4. The research advisor should help to plan and direct the graduate student's project, set reasonable and attainable goals, and establish a timeline for completion of the project. The research advisor should anticipate conflicts between the interests of externally funded research programs and those of the graduate student, and should help keep these interests from interfering with the student's thesis/dissertation research.
5. The research advisor should help a graduate student select a thesis/dissertation committee. The advisor should help assure that the committee meets at least annually (or more frequently, according to program guidelines) to review the graduate student's progress.
6. The research advisor should discuss authorship policies regarding papers with the graduate student. The advisor should acknowledge the graduate student's contributions and work with the graduate student to present and publish his/her work.

7. The research advisor should encourage the graduate student to attend scientific/professional meetings and make an effort to secure and facilitate funding for such activities.
8. The research advisor should encourage the student to seek appropriate individual fellowships and work with the student in the preparation and submission of the fellowship applications.
9. The research advisor should provide an environment for his/her graduate students that is intellectually stimulating, emotionally supportive, safe, and free of harassment.
10. The research advisor should discuss intellectual policy issues with the student regarding disclosure, patent rights and publishing research discoveries.
11. The research advisor should not require the graduate student to perform tasks unrelated to his/her academic and professional development.
12. The research advisor should provide career advice and assist in finding a position for the graduate student following his/her graduation. The advisor should provide honest letters of recommendation and be accessible for advice and feedback on career goals.
13. The research advisor should lead by example and facilitate the training of the graduate student in complementary skills needed to be a successful researcher, such as oral and written communication, grant writing, lab management, animal and human research policies, the ethical conduct of research, and scholarly professionalism. The advisor should support the student's opportunities for teaching to meet the requirements of the program.
14. The research advisor is primarily responsible for providing or securing financial resources for the graduate student to facilitate the student's thesis/dissertation research. Advisors have the prerogative to pay their student's mandatory fees associated with submitting a dissertation, including a degree application fee, a publication and binding fee, and a thesis fee. However, they are not required to do so.

XIII. Scientific Ethics: Guidelines/Other Resources

A. Policy on Authorship of Publications

(The following guideline has been suggested by Virginia Commonwealth University, Dean S. G. Bradley.)

To merit authorship, an individual should:

- Contribute significant ideas and experimental design to the project,
- Take part in the actual experimentation and data analysis,
- Be able to present and defend the work at a scientific meeting. (Exceptions may be made when one author has carried out a unique, sophisticated study or analysis.)

Students should also read "*Ethical Obligations of Authors*" in *Accounts of Chemical Research* 18(12), pp. 356-57 (1985).

This is one example of a *guideline*; the major point to remember is that in the event of allegations of scientific fraud, all authors can be held accountable.

B. *Scientific Misconduct*

The U.S. Public Health Service has a formal policy dealing with misconduct. It is described in a special July 19, 1985, issue of the *NIH Guide to Grants and Contracts*. At the very least we must respect this statement. It says in part:
It is the policy of the PHS to maintain high ethical standards in research and to investigate and resolve promptly and fairly all instances of alleged or apparent misconduct.

As defined by the policy, "misconduct" is: (1) Serious deviation from accepted practices in carrying out research or in reporting the results of research. This includes fabrication, falsification, or plagiarism of data. (2) Material failure to comply with Federal requirements affecting specific aspects of the conduct of research; e.g. the protection of human subjects and the welfare of laboratory animals.

Misconduct does not include errors of judgment, errors in the recording, selection, or analysis of data or differences in opinions involved in the interpretation of data.

Scientific misconduct is grounds for dismissal from the Genetics PhD Program.

C. *Academic Misconduct*

Any form of cheating or plagiarism in respect to curricular requirements is grounds for dismissal. Plagiarism is taking another's ideas, words, or creative works and presenting them as your own, or presenting them without proper attribution (giving credit to the original source).

D. *Sexual Harassment*

The University of Iowa has clearly stated guidelines and regulations pertaining to sexual harassment. A copy of these rules is appended (Appendix I) and is considered required reading for all incoming students.

E. *Counseling Resources*

We need to be constantly vigilant about not only the scientific health and status of our students and faculty, but also about their mental health. Graduate school is an extremely stressful time for students and faculty alike. We would like to remind our students and faculty that if concerns arise about their mental health status, for whatever reason, that it is appropriate to seek help. The University offers counseling services for students at University Counseling Service (3223 Westlawn, 335-7294) and for faculty at Faculty Services (5101A D, 335-2085). Individual faculty or students should feel free to contact those services directly or, if they feel it appropriate, to talk with the Director of the Genetics Program or any member of the Graduate Affairs Committee about the possible need for interventions.

XIV. Resources for Equal Opportunity and Diversity

The Genetics PhD Program is committed to equal opportunity and diversity. For more information and resources, see the following website:

<http://www.uiowa.edu/~eod/>

XV. Appendices

A. Appendix I: Sexual Harassment

1. Genetics Program Sexual Harassment Procedural Note

There are no *formal* procedures within the Genetics PhD Program for dealing with sexual harassment, but the Program endeavors to be sensitive to such issues. If any student encounters a problem that cannot be worked out satisfactorily by discussing it with her/his research sponsor, or if the student would feel uncomfortable speaking with her/his research sponsor, she/he is urged to speak to the Program Director or to a member of the Graduate Affairs Committee. **All such conversations are to be held in strict confidence.** Although we hope no instances of sexual harassment will arise, such problems are best dealt with quickly to avoid making them worse.

2. University of Iowa Policy on Sexual Harassment

(excerpted from <http://www.uiowa.edu/~our/opmanual/ii/04.htm>)

University of Iowa Operations Manual

Part II. Community Policies

Division I. Human Rights, Affirmative Action, and Equal Employment Opportunity

Chapter 4. Sexual Harassment

4.1 POLICY.

a. Policy and Rationale.

(1) Sexual harassment subverts the mission of the University and threatens the careers, educational experience, and well-being of students, faculty, and staff. The University will not tolerate sexual harassment, nor will it tolerate unwelcomed behavior of a sexual nature toward members of the University community when that behavior creates an intimidating or hostile environment for employment, education, on-campus living, or participation in a University activity.

(2) Sexual harassment is especially serious when an instructor harasses a student or a supervisor harasses a subordinate. In such situations, sexual harassment unfairly exploits the power inherent in an instructor's or supervisor's position. However, while sexual harassment often takes place in situations where there is an abuse of a power differential between the persons involved, the University recognizes that sexual harassment is not limited to such situations. Sexual harassment can occur when a student harasses an instructor, when a subordinate harasses a supervisor, or between persons of the same University status.

b. Prohibited conduct. The University of Iowa forbids sexual harassment by any member of the University community.

(1) Definition of sexual harassment. For purposes of this policy, "sexual harassment" means persistent, repetitive, or egregious conduct directed at a specific individual or group of individuals that a reasonable person would interpret, in the full context in which the conduct occurs, as harassment of a sexual nature, when:

(a) Submission to such conduct is made or threatened to be made explicitly or implicitly a term or condition of employment, education, on-campus living environment, or participation in a University activity; or

(b) Submission to or rejection of such conduct is used or threatened to be used as a basis for a decision affecting employment, education, on-campus living environment, or participation in a University activity; or

(c) Such conduct has the purpose or effect of unreasonably interfering with work or educational performance, or of creating an intimidating or hostile environment for employment, education, on-campus living, or participation in a University activity.

(2) Evidence of sexual harassment. Behavior that may constitute, or be evidence of, prohibited sexual harassment includes, but is not limited to, the following:

(a) Physical assault;

(b) Direct or implied threats that submission to sexual advances will be a condition of, or that failure to submit to such advances will adversely affect, employment, work status, promotion, grades, letters of recommendation, or participation in a University activity;

(c) Direct propositions of a sexual nature or persistent unwelcomed efforts to pursue a romantic or sexual relationship, including subtle pressure for sexual activity, an element of which may be repeated staring;

(d) A pattern of unwelcomed sexually explicit gestures, statements, questions, jokes, or anecdotes, whether made physically, orally, in writing, or through electronic media (see also [II-19 Acceptable Use of Information Technology Resources](#));

(e) A pattern of unwelcomed conduct involving:

(i) Unnecessary touching;

(ii) Remarks of a sexual nature about a person's clothing or body;

(iii) Remarks relating to sexual activity or speculations concerning previous sexual experience; or

(iv) Stalking another person who reasonably perceives the stalker is pursuing a romantic and/or sexual relationship. Stalking of a sexual nature that is directed at a specific person that would cause a reasonable person to feel fear;

(f) A display of graphic sexual material (not legitimately related to the subject matter of a course, if one is involved, or to job requirements) in a context where others are not free to avoid the display because of an

employment or educational requirement or without surrendering a privilege or opportunity that others may reasonably expect to enjoy in that location.

(3) In determining whether alleged conduct constitutes sexual harassment, the investigator will consider all available information and will review the totality of the circumstances, including the context in which the alleged incident(s) occurred. Although repeated incidents generally create a stronger claim of sexual harassment, a single serious incident can be sufficient. Determinations will be made on a case-by-case basis.

(4) Expression that constitutes a protected exercise of an individual's free speech rights under the First and Fourteenth Amendments to the United States Constitution shall not be deemed a violation of this policy.

(5) Isolated behavior of the kind described in II-4.1b(2) that does not rise to the level of sexual harassment but that, if repeated, could rise to that level, demonstrates insensitivity that may warrant remedial measures. Academic or administrative officers who become aware of such behavior in their areas should counsel those who have engaged in the behavior. Such counsel should include a clear statement that the behavior is not acceptable and should cease, information about the potential consequences if such behavior persists, and a recommendation, as appropriate, to undertake an educational program designed to help the person(s) understand the harm caused by the behavior.

c. Definitions of other terms used in this policy:

(1) "Academic or administrative officer" includes the following:

(a) Collegiate deans (including associate deans and assistant deans),

(b) Faculty members with administrative responsibilities at the level of departmental executive officer (DEO) or above,

(c) Any staff member whose primary job responsibility is to provide advice regarding a student's academic pursuits or other University-related activities,

(d) Any faculty or staff member serving as departmental (or collegiate) director or coordinator of undergraduate or graduate studies, or as a director or coordinator of any departmental, collegiate, or University off-campus academic program (including any study-abroad program),

(e) The President, Director of Equal Opportunity and Diversity, Sexual Misconduct Response Coordinator, vice presidents (including assistant and associate vice presidents), and Provost (including assistant and associate provosts), and those persons' designees,

(f) Directors and supervisors in an employment context, including faculty and staff who supervise student employees, in relation to matters involving the employees they supervise (other than Department of Public Safety personnel when receiving criminal complaints or reports), and

(g) Human resource representatives (including all central University Human Resources staff).

(2) "Alleged victim": a person who allegedly has been harassed or subjected to unwelcomed sexual behavior.

(3) "Complainant": the person who makes a report or brings a complaint alleging unwelcomed sexual behavior or sexual harassment, who could be an alleged victim, a third party, or an academic or administrative officer of the University.

(4) "Graduate assistant": a graduate student employed by the University as a research assistant or teaching assistant.

(5) "Human resources representative": an individual designated as a unit's authority on human resource policies and procedures, and all central University Human Resources staff.

(6) "Instructor": a person engaged in teaching students or in evaluation or supervision, direct or indirect, of a student's academic work.

(7) "Member of the University community": any University student, or faculty or staff member.

(8) "Protected interests": University employment, education, on-campus living, or participation in a University activity.

(9) "Respondent": a person who has been accused of unwelcomed sexual behavior or sexual harassment.

(10) "Specific and credible allegations": allegations that provide factual details such as, but not limited to, time, place, actions, participants, and witnesses. Allegations do not have to be based on firsthand observation of events to be "specific and credible," but direct observation normally results in greater specificity and credibility than indirect knowledge.

(11) "Supervisor": a person who has authority either: 1) to undertake or recommend tangible employment decisions (those that significantly change an employee's employment status, such as, but not limited to, hiring, firing, promoting, demoting, reviewing performance, reassigning, and compensation decisions) affecting an employee, or 2) to direct the employee's daily work activities.

(12) "Third-party complainant": a person who makes a report or brings a complaint alleging that someone else has been subjected to unwelcomed sexual behavior or sexual harassment.

(13) "Stalking" includes but is not limited to:

- (a) Non-consensual communication including in-person communication, telephone calls, voice messages, text messages, email messages, social networking site postings, instant messages, postings of pictures or information on web sites, written letters, gifts, ordering goods or services, or any other communications that are undesired and/or place another person in fear;
- (b) Following, pursuing, waiting, or showing up uninvited at a workplace, place of residence, classroom, or other locations frequented by a complainant;
- (c) Monitoring online activities, surveillance, and other types of observation, whether by physical proximity or electronic means, attempts to gather information about the complainant;
- (d) Vandalism, including attacks on data and equipment;
- (e) Direct physical and/or verbal threats against a complainant or a complainant's family, friends, co-workers, and/or classmates including animal abuse;
- (f) Gathering of information about a complainant from family, friends, co-workers, and/or classmates;
- (g) Manipulative and controlling behaviors such as threats to harm oneself, or threats to harm someone close to the complainant;
- (h) Defamation or slander against the complainant, posting false information about the complainant and/or posing as the complainant to post to websites, newsgroups, blogs, or other sites that allow public contributions, encouraging others to harass the complainant;
- (i) Posing as someone other than oneself to initiate transactions, financial credit, loans, or other contractual agreements;
- (j) Arranging to meet complainant under false pretenses.

4.2 SCOPE OF POLICY.

a. Acts by employees or students. The University's prohibition of sexual harassment applies to acts of faculty, other instructors, staff, or students occurring in one or more of the following circumstances:

(1) on property owned or controlled by the University or by a student organization;
or

(2) at any location, including through electronic media such as e-mail or social networking websites, and involving any University faculty, staff, or students, provided that:

- (a) the incident occurs at a University-sponsored activity or during an event sponsored by an organization affiliated with the University, including a student organization;
- (b) the accused or the complainant was acting in an official capacity for the University during the incident;
- (c) the accused or the complainant was conducting University business during the incident;
- (d) the conduct has the purpose or reasonably foreseeable effect of substantially interfering with the work or educational performance of UI students, faculty, or staff,
- (e) the conduct creates an intimidating or hostile environment for anyone involved in or seeking to participate in University employment, education, on-campus living, or other University-sponsored activities; or
- (f) the conduct demonstrates that the individual poses a reasonable threat to campus safety and security.

b. Acts by persons other than employees or students. The University will make reasonable efforts to address sexual harassment of its faculty, other instructors, staff, or students by persons participating in University-related programs or activities, conducting business with the University, or visiting the University, even if such persons are not directly affiliated with the University. Reports of sexual harassment by visitors to campus and other persons not directly affiliated with the University should be made to an academic or administrative officer, to the Office of the Sexual Misconduct Response Coordinator, or to the Office of Equal Opportunity and Diversity.

c. In addition to being subject to this policy, students who engage in sexual harassment are subject to discipline under the provisions of the [Code of Student Life](#) and [IV-2 Sexual Misconduct Involving Students](#).

4.3 REPORTS OR COMPLAINTS.

- a. Individuals who have experienced unwelcomed sexual behavior are encouraged to report it, even if they are not certain whether a violation of this policy has occurred.
 - (1) Allegations of unwelcomed sexual behavior may be addressed through the informal process set out in II-4.5c of this policy even if no prohibited conduct has occurred.
 - (2) During formal investigations and disciplinary proceedings, the provisions of II-4.1b, including the definition of sexual harassment in that section, will be used to determine whether alleged unwelcomed sexual behavior constitutes sexual harassment in violation of this policy.
 - (3) Substantial weight will be given to the wishes of the alleged victim when determining how to respond to a report or complaint. However, the University may

investigate the allegations, even without the alleged victim's consent, if circumstances warrant (such as when the allegations are particularly egregious or there are multiple reports of harassment involving the same person).

(4) A report or complaint must state specific and credible allegations of sexual harassment to warrant a formal investigation. There is no time limit for making allegations; however, it may be difficult to substantiate the allegations if they are made after significant time has passed. Therefore, prompt reporting is strongly encouraged.

b. Reporting criminal activity.

(1) In addition to violating University policy, some forms of sexual harassment may constitute criminal activity. Individuals are encouraged to inform law enforcement authorities about instances of unwelcomed sexual behavior that involve violence, threatening behavior, or physical assault. Individuals are encouraged to contact law enforcement whenever they believe a crime may have been committed.

(2) The UI [Department of Public Safety](#) (335-5022) should be notified immediately if individuals believe there is a threat of physical harm to themselves, to other members of the University community, or to anyone on University property or attending a University-sanctioned event.

c. Reports and complaints concerning sexual harassment of students.

(1) Students should make reports or complaints about unwelcomed sexual behavior or sexual harassment to the Office of the Sexual Misconduct Response Coordinator (335-6200).

(2) Any member of the University community, or a third party, may also make a report or complaint that a student has been the victim of unwelcomed sexual behavior or sexual harassment by contacting the Office of the Sexual Misconduct Response Coordinator.

(3) No University employee is authorized to investigate or resolve allegations of unwelcomed sexual behavior or sexual harassment of a student without the involvement of the Office of the Sexual Misconduct Response Coordinator.

(4) Students who would like to discuss their situations in a private environment, and share or seek information about a sexual harassment issue without making a report or complaint should consider utilizing any of the options discussed in [IV-2 Sexual Misconduct Involving Students](#), at [IV-2.8 Confidentiality](#), and in paragraph II-4.3g of this policy.

d. Reports and complaints concerning sexual harassment of non-student employees of the University (including any member of the faculty or staff).

(1) Employees should make reports or complaints about unwelcomed sexual behavior or sexual harassment to the Office of the Sexual Misconduct Response

Coordinator, to the Office of Equal Opportunity and Diversity, or to any academic or administrative officer of the University, as defined in II-4.1c(1).

(2) Any member of the University community or a third party may also make a report or complaint that an employee has been the victim of unwelcomed sexual behavior or sexual harassment by contacting the Office of the Sexual Misconduct Response Coordinator, the Office of Equal Opportunity and Diversity, or any academic or administrative officer of the University.

(3) No University employee is authorized to investigate or resolve allegations of unwelcomed sexual behavior or sexual harassment of a University employee without the involvement of the Office of the Sexual Misconduct Response Coordinator or the Office of Equal Opportunity and Diversity.

(4) Employees who would like to discuss their situations in a private environment, and share or seek information about a sexual harassment issue without making a report of sexual harassment to the University, should consider utilizing any of the options discussed below in paragraph II-4.3g of this policy.

e. Any academic or administrative officer of the University who observes sexual harassment or who becomes aware of allegations of unwelcomed sexual behavior or sexual harassment through the report of a complainant (including a third party) shall take the actions described in this section, even if the alleged victim does not wish any action to be taken.

(1) In any case in which the alleged victim of the behavior is a student the academic or administrative officer must

(a) inform the complainant that certified victim advocacy services are available from the Rape Victim Advocacy Program, and

(b) refer the complainant to the Office of the Sexual Misconduct Response Coordinator, and

(c) notify the Office of the Sexual Misconduct Response Coordinator of the allegations within two business days.

(2) In any case in which the alleged victim is a non-student employee of the University (including any member of the faculty or staff), the academic or administrative officer must

(a) inform the complainant of the options available under this policy (i.e., informal resolution or formal investigation) and that certified victim advocacy services are available from the Rape Victim Advocacy Program and,

(b) provide notice of the allegations to the Office of the Sexual Misconduct Response Coordinator or the Office of Equal Opportunity and Diversity within two business days, and

(c) provide notice of the allegations to the Senior Human Resources Leadership Representative of the unit in which the alleged behavior occurred or, when incidents do not occur within a unit, notify the Senior Human Resources Leadership Representative of the respondent.

f. The Office of the Sexual Misconduct Response Coordinator and the Office of Equal Opportunity and Diversity shall share information about reports and complaints, typically within two business days, and shall provide assistance to the academic or administrative officer and the relevant Senior Human Resources Leadership Representative in evaluating the situation and determining an appropriate course of action, even if the alleged victim has requested that no action be taken.

g. Anyone (victims or others) who wishes to consult with someone about a specific situation without making a report or complaint, or who wishes simply to learn more about enforcement of the Policy on Sexual Harassment, may contact any of the following offices or organizations:

- (1) Office of the Ombudsperson (for faculty, other instructors, staff, or students)
- (2) Faculty and Staff Services/Employee Assistance Program (for faculty or staff)
- (3) University Counseling Service (for students)
- (4) Women's Resource and Action Center (for faculty, other instructors, staff, or students)
- (5) Rape Victim Advocacy Program (certified victim advocates)(for faculty, other instructors, staff, or students)

These offices and organizations are exempt from the reporting requirements set forth above in II-4.3e of this policy. In addition, staff in these offices and organizations generally have professional or legal obligations to keep communications with their clients confidential. Faculty and staff in other University offices typically do not have confidentiality obligations and may be required to report allegations as described above in II-4.3e.

4.4 RESOLUTION OF ALLEGATIONS AGAINST STUDENTS.

a. Allegations that a student has engaged in unwelcomed sexual behavior or sexual harassment will be handled through the Office of the Dean of Students, in consultation with the Office of the Sexual Misconduct Response Coordinator, and in accordance with this policy, the [Code of Student Life, IV-2 Sexual Misconduct Involving Students](#), and the [Student Judicial Procedure](#).

b. The Office of the Sexual Misconduct Response Coordinator is available to advise complainants and alleged victims on the resolution of allegations against students. To the maximum extent possible, the Office of the Sexual Misconduct Response Coordinator and the Office of the Dean of Students shall work together to ensure a coordinated and effective institutional response to reports or complaints alleging that a student has engaged in sexual harassment or unwelcomed sexual behavior.

c. At an alleged victim's request, the Office of the Sexual Misconduct Response Coordinator will assist the victim in addressing a situation involving allegations of unwelcomed sexual behavior or sexual harassment against a student without initiating formal disciplinary action against the student respondent. However, the University may conduct a formal investigation of allegations and pursue disciplinary action, even without an alleged victim's consent, if circumstances warrant.

d. When responding to allegations against an individual who is both a student and a University employee (including graduate assistants), the University may use the processes set out below in II-4.5 of this policy and/or the Student Sexual Misconduct Judicial Procedures, as it considers appropriate in the circumstances.

4.5 RESOLUTION OF ALLEGATIONS AGAINST EMPLOYEES (INCLUDING FACULTY, OTHER INSTRUCTORS, AND STAFF MEMBERS).

a. Advice on the use of these procedures. The Office of Equal Opportunity and Diversity and the Office of the Sexual Misconduct Response Coordinator are available to advise complainants and alleged victims on the use of these procedures and to assist persons who receive allegations of unwelcomed sexual behavior or sexual harassment in determining the appropriate response to such allegations. To the maximum extent possible, these offices shall work together to ensure a coordinated and effective institutional response to complaints.

b. Options for resolution of allegations against employees.

(1) Allegations that an employee (including a faculty member, other instructor, or staff member) has engaged in unwelcomed sexual behavior or sexual harassment may be addressed either through the informal resolution process described in II-4.5c, or through the formal investigation and resolution process described below in II-4.5d through II-4.5g.

(2) Limits on the use and scope of informal resolution.

(a) Informal resolution may only be used at the request of the alleged victim. If the alleged victim does not request informal resolution, then a report or complaint must be addressed through the processes set out in II-4.5d through II-4.5f.

(b) Informal resolution pursuant to II-4.5b may not be used when the allegations involve a report or complaint that the respondent committed sexual assault or engaged in any other form of violent behavior.

(c) When allegations are addressed through an informal resolution process, the person(s) alleged to have engaged in unwelcomed sexual behavior or sexual harassment ordinarily will not be informed of the allegations without the consent of the alleged victim unless circumstances require (such as when the allegations are particularly egregious or there are multiple reports of unwelcomed sexual behavior or sexual harassment involving the same person).

(d) When allegations are addressed through an informal resolution process, no disciplinary action may be taken against a person, and there will be no record of the allegations in the person's personnel or student disciplinary file, unless the person is notified of the allegations and given an opportunity to respond.

(e) Disciplinary action taken against a respondent in response to alleged violations of this policy will be governed by the procedures and rules set out below in II-4.5g.

(3) The University may conduct a formal investigation of allegations and pursue disciplinary action, even without an alleged victim's consent and even when the victim prefers informal resolution, if circumstances warrant (such as when the allegations are particularly egregious or there are multiple reports of unwelcomed sexual behavior or sexual harassment involving the same person).

c. Informal resolution of allegations of unwelcomed sexual behavior or sexual harassment by an employee.

(1) If an alleged victim of unwelcomed sexual behavior or sexual harassment requests that the matter be addressed by informal resolution processes:

(a) In addition to taking the steps outlined in II-4.3e above, the academic or administrative officer to whom the victim directs this request will refer the matter to the Senior Human Resources Leadership Representative of the unit in which the alleged behavior occurred. When incidents do not occur within a unit, the matter should be referred to the Senior Human Resources Leadership Representative of the person alleged to have engaged in unwelcomed sexual behavior or sexual harassment.

(b) The Senior Human Resources Leadership Representative is responsible for assisting the alleged victim in securing a resolution of the matter. When either the alleged victim or the accused person is a faculty member, the relevant dean or vice president may designate an associate dean to work in consultation with the Senior HR Leadership Representative. The Senior Human Resources Leadership Representative and/or relevant associate dean must promptly inform the Office of Equal Opportunity and Diversity or the Office of the Sexual Misconduct Response Coordinator that an informal resolution is being attempted at the alleged victim's request.

(c) Alternatively, at the request of the alleged victim, the academic or administrative officer will refer the matter to the Office of Equal Opportunity and Diversity (EOD) so that the alleged victim may choose either to secure that office's assistance in addressing the situation through informal resolution or to request a formal investigation of the allegations. EOD shall notify the Office of the Sexual Misconduct Response Coordinator if it is assisting in the informal resolution of allegations.

(2) The Senior Human Resources Leadership Representative and/or relevant associate dean shall make reasonable efforts to resolve allegations promptly and

effectively, giving consideration to the nature of the allegations and the surrounding circumstances.

(a) Examples of actions that may be taken to resolve allegations on an informal basis include, but are not limited to: educational intervention directly with the accused individual or in the context of unit-wide communications or discussions; direct or facilitated communications between parties to resolve misunderstandings; agreements regarding future behavior of one or all parties; and nondisciplinary changes in a party's work or educational environment.

(b) If there is a supervisory relationship between the complainant and/or victim and the respondent, the appropriate course of action will include development of a plan to avoid any perceived or actual conflict of interest until the complaint is resolved.

(c) The Senior Human Resources Leadership Representative and/or associate dean who is assisting in resolving the matter through information resolution shall take appropriate interim action, which may include those actions described in II-4.5h below, to address the alleged behavior and protect the health or safety of the alleged victim, complainant, and/or witnesses.

(3) If the Senior Human Resources Leadership Representative and/or associate dean is/are unable to resolve the matter within 21 days of receiving a referral of the allegations, the Senior Human Resources Leadership Representative and/or associate dean will notify the Office of Equal Opportunity and Diversity of the status of the matter and refer the complainant to that office for further assistance.

(4) If allegations of unwelcomed sexual behavior or sexual harassment are resolved through informal resolution, a written report must be made after the complaint is resolved using the Office of Equal Opportunity and Diversity Report of Informal Sexual Harassment Complaint Form, which requires disclosure of the employment or student status of the alleged victim(s); the complainant(s) (if other than the alleged victim), and the person(s) accused; the unit(s) with which those persons are affiliated; a summary of the allegations; and a description of the steps taken to resolve the complaint.

In order for the University to respond effectively to situations involving a potential pattern of prohibited conduct by the same individual, if the person alleged to have engaged in unwelcomed sexual behavior or sexual harassment was notified of the existence of the allegations and given an opportunity to respond, the Senior Human Resources Leadership Representative and/or associate dean shall provide the names of the parties to the Office of Equal Opportunity and Diversity. If that person was not informed of the allegations or was not given an opportunity to respond, the Senior Human Resources Representative and/or associate dean shall not provide the names of the parties to the Office of Equal Opportunity and Diversity.

The Office of Equal Opportunity and Diversity shall provide the Office of the Sexual Misconduct Response Coordinator with information about informal resolutions in order to ensure overall coordination of University efforts to address unwelcomed sexual behavior and sexual harassment.

(5) It is the responsibility of the Senior Human Resources Leadership Representative and/or associate dean who facilitates the informal resolution of the allegations to follow up with the parties at a reasonable interval(s) to assess their compliance with the terms of the informal resolution and take appropriate action as warranted based on the parties' level of compliance.

d. Formal investigations of allegations against employees.

(1) If an alleged victim does not request informal resolution of allegations of unwelcomed sexual behavior or sexual harassment, then allegations of unwelcomed sexual behavior or sexual harassment by a faculty or staff member shall be referred to the Office of Equal Opportunity and Diversity (EOD) for appropriate action. If the complaint states specific and credible allegations of behavior constituting sexual harassment in violation of this policy, then the Office of Equal Opportunity and Diversity will conduct an investigation of the allegations in the complaint pursuant to the procedures set out in this policy. However, if the victim requests that no investigation be conducted, the Office of Equal Opportunity and Diversity will not further investigate the matter unless circumstances require (such as when the allegations are particularly egregious or there are multiple reports of unwelcomed sexual behavior or sexual harassment involving the same person).

(2) The Office of Equal Opportunity and Diversity may also conduct an investigation if efforts to resolve the matter through the informal resolution process were unsuccessful, if the terms of an informal resolution were not followed, or if it determines that an investigation is warranted despite an alleged victim's request for informal resolution.

(3) The purpose of the investigation is to establish whether there is a reasonable basis for believing that a violation of this policy has occurred. In conducting the investigation, the Office of Equal Opportunity and Diversity will make reasonable efforts to interview the alleged victim, the complainant (if other than the alleged victim), and the respondent, and may interview other persons believed to have pertinent factual knowledge, as well as review any relevant documentary information. At all times, the Office of Equal Opportunity and Diversity will take steps to ensure confidentiality to the extent possible.

(4) When the Office of Equal Opportunity and Diversity conducts an investigation, the respondent will be informed of the allegations, the identity of the complainant, and the facts surrounding the allegations. The investigation will afford the respondent an opportunity to respond to the allegations and information provided by the complainant and/or alleged victim, and to provide a statement of the facts as perceived by the respondent.

(5) At the conclusion of the investigation, the Office of Equal Opportunity and Diversity will issue a written finding which will summarize the information gathered and state whether or not there is a reasonable basis for believing that a violation of this policy has occurred.

(a) The written finding normally will be issued within 45 days of when the complaint was filed. When it is not reasonably possible to issue the finding within that time, the Office of Equal Opportunity and Diversity will notify the alleged victim and the respondent that the finding will be delayed and indicate the reasons for the delay.

(b) The alleged victim, the respondent, and the Office of the Sexual Misconduct Response Coordinator will each receive a copy of the written finding, which is to remain confidential as defined below by II-4.5j.

(c) Third-party complainants will be notified only that the proceedings are concluded.

(6) If the Office of Equal Opportunity and Diversity finds a reasonable basis for believing that a violation of this policy has occurred, the matter will be referred to the appropriate administrator for further consideration as outlined in II-4.5e below.

e. Response to finding of the Office of Equal Opportunity and Diversity.

(1) In addition to the Office of the Sexual Misconduct Response Coordinator, the following administrators will receive the finding of the Office of Equal Opportunity and Diversity:

(a) the Office of the Provost, if the respondent is a faculty member or other instructional personnel (except graduate assistants);

(b) the office of the vice president or dean responsible for the unit employing the person charged, if the respondent is a staff member;

(c) the Office of the Dean of the Graduate College, if the respondent is a graduate assistant; and

(d) the Office of the Dean of Students, in cases in which an employee respondent is also a student (including a graduate assistant).

(2) The administrator who receives the finding, as well as the Sexual Misconduct Response Coordinator, will discuss it with the Office of Equal Opportunity and Diversity (EOD) in order to determine, based on EOD's findings and input, appropriate corrective measures and sanctions.

(a) If the respondent is a staff member, the administrator will also consult with the Senior Human Resources Leadership Representative in the unit.

(b) If the respondent is a faculty member or graduate assistant, the administrator will also consult with the appropriate dean and departmental executive officer.

(c) When a respondent staff member, faculty member, or graduate assistant is also a student, the administrator and the Dean of Students will also consult with one another in determining what corrective measures or sanctions should be pursued.

(3) The administrator is responsible for implementing corrective measures and sanctions and may institute formal disciplinary action, consistent with University procedures. The administrator must inform the Office of Equal Opportunity and Diversity (EOD), in writing, of the actions that are taken in response to EOD's findings.

(4) The administrator who reviews and takes action in response to a finding of the Office of Equal Opportunity and Diversity shall inform the alleged victim when action has been taken.

f. Sanctions for violation of the policy.

(1) Violations of the Policy on Sexual Harassment may lead to disciplinary sanctions up to and including termination or separation from The University of Iowa. Sanctions for violations of this policy should be commensurate with the nature of the violation and the respondent's disciplinary history.

Those who violate this policy should bear the consequences of their actions, even if factors such as substance abuse or personal problems contribute to misconduct. When the offense is serious, it is appropriate to consider separation from the University even in cases of first offense, and even when the respondent experiences remorse and/or did not intend to cause the resulting degree of harm.

(2) In addition to other disciplinary action, persons who are found to have violated this policy may be required to participate in group counseling or personal therapy sessions, complete community service, enroll in a specific academic course, attend an educational workshop, and/or make restitution for economic damages caused by their behavior.

When the respondent is a faculty or staff member, the Office of Faculty and Staff Services (121-50 University Services Building) is available to assist with locating appropriate resources.

(3) It is the responsibility of the appropriate administrator to follow up with the parties at a reasonable interval(s) to assess their compliance with the disciplinary and/or remedial sanctions imposed. More serious sanctions, up to and including termination of employment or separation from the University, may be imposed in the event that the respondent fails to comply with the sanctions initially imposed.

g. Formal disciplinary action. Formal disciplinary action taken in response to alleged violations of this policy by:

(1) faculty members will be governed by the [III-29 Faculty Dispute Procedures](#) and that portion of those procedures dealing with faculty ethics (see III-29.7).

(2) staff members will be governed by applicable Regent Merit System Rules and University policies, including [III-16 Ethics and Responsibilities for Staff](#) and the applicable grievance procedures, (including III-28 Conflict Management Resources for University Staff);

(3) graduate assistants, when dismissal is sought, will be governed by the procedure for dismissal of graduate assistants (see [III-12.4](#)). When disciplinary action other than dismissal is taken by the Dean of the Graduate College, a graduate assistant may appeal through those procedures established for graduate assistant employees;

(4) students will be governed by the [Student Judicial Procedure](#), this policy, the [Code of Student Life](#), and [IV-2 Sexual Misconduct Involving Students](#).

In some cases, an individual may be subject to discipline in multiple capacities (e.g., as a staff member and as a student). In such cases, the relevant administrators will cooperate in determining appropriate sanctions and whether and when to pursue formal disciplinary action.

h. Protection of alleged victims, complainants, and others.

(1) Alleged victims will be informed of relevant procedural steps taken during the investigation and any interim protective measures taken. An alleged victim may be accompanied by a victim advocate and other support persons during the investigation process if the alleged victim so desires.

(2) Throughout the investigation and resolution of a complaint, steps will be taken to protect alleged victims, complainants, witnesses, and others from harm caused by continuation of the alleged harassing behavior.

(3) Retaliation against alleged victims, complainants, and/or witnesses who provide information during an investigation pursuant to this policy is prohibited by [II-11 Anti-Retaliation](#). Reasonable action will be taken to assure that alleged victims, complainants, and/or witnesses will suffer no retaliation as the result of their activities with regard to the process.

(4) Any retaliation against alleged victims, complainants, or witnesses should be reported to the Office of Equal Opportunity and Diversity for further investigation. Retaliation may result in disciplinary action against the person committing the retaliatory act(s).

(5) Steps that may be taken to protect alleged victims, complainants, witnesses, and others from continued harassment and/or retaliation might include:

(a) lateral transfers of one or more of the parties in an employment setting and a comparable move if a classroom setting is involved, and

(b) arrangements that academic and/or employment evaluations concerning the complainant or others be made by an appropriate individual other than the respondent.

(6) In extraordinary circumstances, the Provost, a dean, a DEO, or any vice president may, at any time during or after an investigation of allegations of sexual harassment, suspend or partially restrict from employment any employee accused of sexual harassment if the Provost, dean, DEO, or vice president finds that it is reasonably certain that:

(a) the employee engaged in sexual harassment in violation of this policy, and

(b) serious and immediate harm will ensue if the person continues his or her employment. Similarly, if the respondent is a student, interim sanctions may be imposed pursuant to Section 10 of the [Student Judicial Procedure](#).

i. Protection of respondents.

(1) Prohibition against knowingly false allegations. This policy shall not be used to bring knowingly false or malicious allegations of unwelcomed sexual behavior or sexual harassment. Making such allegations may subject the complaining party to remedial and/or disciplinary action up to and including termination or separation from the University. Any such disciplinary action will be initiated by the appropriate administrator overseeing the complainant(s).

(2) In the event that allegations are not substantiated, reasonable steps will be taken to restore the reputation of the respondent if it was damaged by the proceeding. The respondent may consult with the Office of Equal Opportunity and Diversity regarding reasonable steps to address such concerns.

(3) Confidential resources. Persons who are accused of sexual harassment may discuss their situations privately with counselors at University Counseling Service (for students), with counselors at Faculty and Staff Services/Employee Assistance Program (for faculty or staff), or with staff at the University's Office of the Ombudsperson (faculty, staff, and students). Conversations with University counselors and staff at these offices will not be reported to anyone else in the University except in cases of a threat of imminent physical harm. However, statements made to employees in these offices will not always be legally confidential. When seeking private advice and support from these offices or any University employee, persons should always confirm whether legal confidentiality applies to their communications with the person to whom they are speaking.

j. Confidentiality.

(1) In order to empower community members to voice concerns and report unwelcomed sexual behavior or sexual harassment, the confidentiality of all parties will be protected to the greatest extent possible. However, confidentiality cannot be guaranteed in all cases, and academic and administrative officers of the university are expected to take some action once they are made aware that unwelcomed sexual behavior or sexual harassment in violation of this policy may be occurring.

(2) Anyone (victims or others) who wishes to consult with someone about a specific situation without making a report of unwelcomed sexual behavior or sexual harassment, or who wishes simply to learn more about enforcement of the policy, may contact any of the following offices or organizations:

- (a) Office of the Ombudsperson (for faculty, other instructors, staff, or students)
- (b) Faculty and Staff Services/Employee Assistance Program (for faculty or staff)
- (c) University Counseling Service (for students)
- (d) Women's Resource and Action Center (for faculty, other instructors, staff, or students)
- (e) Rape Victim Advocacy Program (certified victim advocates)(for faculty, other instructors, staff, or students)

(3) Alleged victims, third-party complainants, and respondents are expected to maintain confidentiality as well. They are not prohibited from discussing the situation outside of the work or educational environment. However, the matter should not be discussed in the work or educational environment.

(4) Dissemination of documents relating to reports or complaints of unwelcomed sexual behavior or sexual harassment and/or to the investigation of such reports or complaints, other than as necessary to pursue an appeal, grievance, or other legal or administrative proceeding, is prohibited.

(5) Failure to maintain confidentiality by a respondent may be considered to be a form of retaliation in violation of II-4.5h. Failure to maintain confidentiality by any party (alleged victim, third party complainant, or respondent) may result in disciplinary action.

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4.6 EDUCATIONAL PROGRAMS.

a. Education as a key element of University policy.

(1) Educational efforts are essential to the establishment of a campus milieu that is free of sexual harassment. There are at least four goals to be achieved through education:

- (a) ensuring that alleged victims (and potential victims) are aware of their rights;
- (b) notifying individuals of conduct that is proscribed;
- (c) informing administrators about the proper way to address complaints of violations of this policy; and

(d) helping educate the community about the problems this policy addresses.

(2) Mandatory sexual harassment prevention education.

(a) All faculty, staff, and students meeting the following criteria are required to complete an approved course offered by the University on sexual harassment prevention.

(i) Faculty: All faculty, any title, who hold at least a 50 percent appointment,

(ii) Staff (P&S): All regular staff, employed at least 50 percent or greater time,

(iii) Staff (merit): All regular staff, employed at least 50 percent or greater time,

(iv) Medical residents and fellows: All who hold at least a 50 percent appointment during the academic year,

(v) Postdoctoral scholars/fellows: All who hold at least a 50 percent appointment during the academic year,

(vi) Students (graduate/professional): All graduate/professional students who hold a teaching assistantship for a period of one semester or longer, and any other students as determined by the Provost,

(vi) Students (undergraduate): University housing resident assistants, and any other students as determined by the Office of the Vice President for Student Life.

(b) Current faculty/staff: All current faculty and staff members meeting the criteria set out in paragraph 2(a) above are required to participate in an approved sexual harassment prevention course every three years (i.e., three calendar years from the date of their most recent training), unless more frequent training is required by the employing unit or college.

(c) New hires: All faculty and regular staff members, who hold a 50 percent or greater appointment, shall receive sexual harassment prevention education in the first six months of their employment (except for those whose positions fall under the definition of "academic and administrative officers"). Options for satisfying this requirement may include: instructor-led sessions, specifically designated online courses, and/or annual new faculty orientations.

(d) Academic and administrative officers (AAOs): All faculty/staff hired into and/or promoted to a position defined by II-4.1c(1) of this policy as an academic/administrative officer (e.g., VP, Dean, DEO, student advisor,

supervisor) shall complete an approved sexual harassment prevention course for supervisors within the first two months of their appointment. Academic and administrative officers are responsible for knowing and understanding the contents of this policy and the procedures for processing complaints brought to them pursuant to this policy.

(e) The Office of Equal Opportunity and Diversity, in consultation with the Office of the Provost, shall provide centralized oversight and monitoring of compliance with this mandatory sexual harassment prevention education requirement on an annual basis.

(3) To achieve the goals set forth in paragraph (1) above, the Office of Equal Opportunity and Diversity offers programs designed to educate the University community about sexual harassment prevention. The Office of Equal Opportunity and Diversity also offers programs designed to inform those whose behavior does not rise to the level of a violation of this policy as defined in II-4.1b, but if repeated could rise to the level of a violation, of the problems they create by their insensitive conduct. Educational programs may be recommended for those described in II-4.1b(5) and may be an element in the resolution of a matter. Educational programs and/or individual training also may be mandated for persons found to have violated this policy.

b. Preparation and dissemination of information. The Office of Equal Opportunity and Diversity is charged with distributing information about this policy to all current members of the University community and to all those who join the community in the future. An annual notification from the Office of Equal Opportunity and Diversity is provided to all faculty and staff to remind them of the contents of this policy. Information about this policy will be made available continually at appropriate campus centers and offices and on the University of Iowa website.

c. Review of policy. This policy will be reviewed within three years after the latest revisions are implemented and revised as appropriate. This policy is subject to review at any other time deemed necessary by the President, the General Counsel, the Chief Diversity Officer, or the Sexual Misconduct Response Coordinator.

3. University of Iowa Policy on Sexual Misconduct Involving Students, Including Sexual Assault and Sexual Harassment

(excerpted from <http://www.uiowa.edu/~our/opmanual/iv/02.htm>)

University of Iowa Operations Manual

Part IV. Students

Chapter 2: Sexual Misconduct Involving Students, Including Sexual Assault and Sexual Harassment

Preface: Students Who May Be Victims of Sexual Misconduct:

If you or someone you know may be a victim of sexual assault, sexual harassment, stalking, or any other behaviors prohibited under this policy, you are strongly encouraged to seek immediate assistance. Assistance can be obtained 24 hours a day, 7 days a week, from:

- Rape Victim Advocacy Program (RVAP) — confidential, certified victim advocacy services, 319-335-6000
- Domestic Violence Intervention Program (DVIP) — confidential, certified victim advocacy services, 319-351-1043 or 800-373-1043
- Emergency Department, University of Iowa Hospitals and Clinics — confidential medical services, 319-356-2233
- University of Iowa Department of Public Safety — law enforcement services, 319-335-5022, or 911 from any campus phone

During business hours, you may also seek assistance from the University of Iowa Office of the Sexual Misconduct Response Coordinator, 319-335-6200.

2.1 INTRODUCTION.

The University of Iowa strives to create a respectful, safe, and nonthreatening environment for its students, faculty, staff, and lawful visitors. This policy sets forth resources available to students, describes prohibited student conduct, and establishes procedures for responding to sexual misconduct, dating/domestic violence, stalking, and other unwelcome sexual behavior.

A student who is under the influence of alcohol or drugs at the time of an incident should not be reluctant to seek assistance for that reason. The Dean of Students will not pursue disciplinary violations against a student (or against a witness) for his or her improper use of alcohol or drugs (e.g., underage drinking) if the student is making a good faith report of sexual misconduct, dating/domestic violence, or stalking. In addition, the law enforcement authorities in Johnson County have a policy of not pursuing charges for improper use of alcohol or drugs against a victim of sexual assault.

Assistance in reporting any form of misconduct to the proper law enforcement authorities is available to any student upon request from a certified victim advocate at the Rape Victim Advocacy Program (RVAP), the Domestic Violence Intervention Program (RVIP), or from the Office of the Sexual Misconduct Response Coordinator.

2.2 GENERAL STATEMENT OF POLICY.

The University of Iowa prohibits sexual misconduct, dating/domestic violence, and stalking in any form, including sexual assault or sexual harassment, and any form of nonconsensual sexual conduct. Students should be able to live, study, and work in an environment free from all forms of sexual misconduct, dating/domestic violence, and stalking.

Sexual misconduct is a broad term encompassing any unwelcome behavior of a sexual nature that is committed without consent or by force, intimidation, threats, coercion, or manipulation. The term includes sexual assault, sexual harassment, sexual exploitation, and sexual intimidation. Sexual misconduct can be committed by a person of any gender, and it can occur between people of the same or different gender.

Domestic/dating violence is coercive, abusive, and/or threatening behavior toward a current or former intimate or romantic partner.

Stalking is a course of conduct directed at a specific person that would cause a reasonable person to feel fear.^[1]

Any act that falls within the definition of sexual misconduct, dating/domestic violence, or stalking constitutes a violation of University policy. The University is committed to fostering a campus environment that both promotes and expedites prompt reporting of misconduct and timely and fair adjudication of cases. The University's procedures are designed to protect the rights, needs, and privacy of the student making a University complaint, as well as those of students accused of misconduct. The University also adheres to all federal, state, and local requirements for intervention, crime reporting, and privacy provisions related to sexual misconduct, dating/domestic violence, and stalking.

The University will make this policy and educational opportunities readily available to all students and other members of the University community. By engaging as active bystanders, all members of the University contribute to a respectful, safe, and nonthreatening environment.

The University of Iowa will make every effort to respect the privacy of students who seek help and/or report misconduct. The University will weigh requests for no action with its responsibility to protect the community and adhere to federal guidelines that mandate the University's action. While steps are taken to protect the privacy of victims, the University may need to investigate an incident and take action once an allegation is known, whether or not the student chooses to pursue a complaint.

Reports of sexual misconduct involving University students, faculty, staff, or any third party should be made to the Office of the Sexual Misconduct Response Coordinator at 319-335-6200. An academic or administrative officer, as defined in the University's Sexual Harassment policy (see II-4.1b(3)) must report any known sexual misconduct, dating/domestic violence, or stalking report involving a student to the Office of the Sexual Misconduct Response Coordinator. No employee is authorized to investigate or resolve student complaints without the involvement of the Office of the Sexual Misconduct Response Coordinator.

In addition to violating University policy, sexual misconduct, dating/domestic violence, or stalking might also constitute criminal activity. **Students are strongly encouraged to inform law enforcement authorities about instances of misconduct. The chances of a successful criminal investigation are greatly enhanced if evidence is collected and maintained immediately by law enforcement officers.** Students may inform law enforcement authorities about sexual misconduct or stalking and discuss the matter with a law enforcement officer without making a criminal complaint. However, in cases of domestic violence, law enforcement officers are mandated to make an arrest of the primary physical aggressor when there is evidence of an assault and a physical injury has occurred.

2.3 DEFINITIONS AND EXAMPLES OF SEXUAL MISCONDUCT

- a. "Sexual misconduct" general definition. Sexual misconduct is a broad term encompassing any unwelcome behavior of a sexual nature that is committed without consent or by force, intimidation, coercion, or manipulation. Sexual misconduct can be committed by a person of any gender, and it can occur between people of the same or different gender.
- b. Examples of sexual misconduct. Sexual misconduct may vary in its severity and consists of a range of behavior or attempted behavior. It can occur between strangers or acquaintances, including people involved in an intimate or sexual relationship.

Sexual misconduct includes, but is not limited to, the following examples of prohibited conduct as further defined below:

- 1) sexual assault (paragraph e below);
 - 2) sexual harassment (paragraph f below);
 - 3) sexual exploitation (paragraph g below);
 - 4) sexual intimidation (paragraph h below).
- c. "Consent" definition. For purposes of this policy, consent is a freely and affirmatively communicated willingness to participate in particular sexual activity or behavior, expressed either by words or clear, unambiguous actions.
- 1) It is the responsibility of the person who wants to engage in the sexual activity to ensure that consent is obtained from the other person to engage in the activity.
 - 2) Lack of protest or resistance does not mean consent, nor does silence mean consent. For that reason, relying solely on nonverbal communication can lead to misunderstanding.
 - 3) The existence of a dating relationship between the persons involved or the fact of a past sexual relationship does not imply consent to future sexual acts.
 - 4) Consent must be present throughout the sexual activity — at any time, a participant can communicate a desire to no longer consent to continuing the activity.
 - 5) Consent to one form of sexual activity does not imply consent to other forms of sexual activity.
 - 6) If there is confusion as to whether anyone has consented or continues to consent to sexual activity, the participants must stop the activity until each consents to it.
 - 7) Consent is not procured by the use of physical force, compelling threats, intimidating behavior, or coercion.
 - 8) Persons who are unable to give consent. In addition, under University of Iowa policy the following persons are unable to give consent:
 - a. persons who are asleep, unconscious, or involuntarily restrained physically;
 - b. persons who are incapacitated due to the influence of drugs, alcohol, or medication;
 - c. persons who are unable to communicate consent due to a mental or physical condition;
 - d. persons who are not of legal age according to Iowa Code  Chapter 709.
- d. Relation to criminal law and other University policy. In addition to being forbidden by this policy, sexual misconduct may be a violation of state criminal law and of other University policies, including the University's general policy against violence (see II-10 Violence).
- e. "Sexual assault" definition. Sexual assault is a form of sexual misconduct and represents a continuum of conduct from forcible intercourse to nonphysical forms of pressure that compel individuals to engage in sexual activity against their will.

Examples of sexual assault under this policy include, but are not limited to, the following behaviors, however slight, when consent is not present:

- 1) sexual intercourse (anal, oral, or vaginal). Intercourse, however slight, meaning vaginal penetration by a penis, object, tongue, or finger; anal penetration by a penis, object, tongue, or finger; or oral copulation (mouth to genital contact or genital to mouth contact);
 - 2) attempted sexual intercourse (anal, oral, or vaginal);
 - 3) intentional contact with the breasts, buttocks, groin, or genitals, or touching another with any of these body parts, or making another touch you or themselves with or on any of these body parts;
 - 4) any other intentional unwanted bodily contact of a sexual nature;
 - 5) use of coercion, manipulation, or force to make someone else engage in sexual touching, including breasts, chest, and buttocks.
- f. "Sexual harassment" definition. Sexual harassment is a form of discrimination that includes verbal, written, or physical behavior of a sexual nature, directed at an individual, or against a particular group, because of that person's or group's gender, or based on gender stereotypes or manifestation, when that behavior is unwelcome and meets either of the following criteria:
- 1) Submission or consent to the behavior is believed to carry consequences for another person's education, employment, on-campus living environment, or participation in a University program or activity. Examples of this type of sexual harassment include:
 - a) pressuring a student to engage in sexual behavior for some educational or employment benefit; or
 - b) making a real or perceived threat that rejecting sexual behavior will carry a negative consequence for the student in education, on-campus residence, or University program or activity.
 - 2) The behavior has the effect of limiting or denying another person's work or educational performance or creating an intimidating, hostile, or demeaning environment for employment, education, on-campus living, or participation in a University program or activity. Examples of this type of sexual harassment can include:
 - a) persistent unwelcomed efforts to develop a romantic or sexual relationship;
 - b) unwelcome commentary about an individual's body or sexual activities;
 - c) repeated unwanted sexual attention;
 - d) repeated and unwelcome sexually oriented teasing, joking, or flirting;
 - e) verbal abuse of a sexual nature.

Comments or communications could be verbal, written, or electronic. Behavior does not need to be directed at or to a specific student, but rather may be generalized unwelcomed and unnecessary comments based on sex or gender stereotypes.

Determination of whether alleged conduct constitutes sexual harassment requires consideration of all the circumstances, including the context in which the alleged incidents occurred.

- g. "Sexual exploitation" definition. Sexual exploitation involves taking nonconsensual, unjust, or abusive sexual advantage of another person. Examples can include, but are not limited to the following behaviors:

- 1) electronically recording, photographing, or transmitting intimate or sexual utterances, sounds, or images without the knowledge and consent of all parties involved;
- 2) voyeurism (spying on others who are in intimate or sexual situations);
- 3) distributing intimate or sexual information about another person without that person's consent;
- 4) prostituting or trafficking another person.

h. "Sexual intimidation" definition. Sexual intimidation involves:

- 1) threatening another person that you will commit a sex act against them; or
- 2) engaging in indecent exposure.

2.4 DEFINITIONS AND EXAMPLES OF DATING/DOMESTIC VIOLENCE

Domestic/dating violence is coercive, abusive, and/or threatening behavior toward a current or former intimate or romantic partner. These behaviors may include physical, sexual, emotional, economic, or psychological actions or threats of actions that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, or injure the victim/survivor.

2.5 DEFINITIONS AND EXAMPLES OF STALKING

Stalking is a course of conduct directed at a specific person that would cause a reasonable person to feel fear.

Examples of prohibited stalking can include but are not limited to:

- a. Nonconsensual repeated communication including in-person communication, telephone calls, voice messages, text messages, email messages, social networking site postings, instant messages, postings of pictures or information on websites, written letters, gifts, ordering goods or services, or any other communications that are undesired;
- b. Following, pursuing, waiting, or showing up uninvited at a workplace, place of residence, classroom, or other locations frequented by a recipient of unwelcome conduct;
- c. Monitoring online activities, surveillance, and other types of observation, whether by physical proximity or electronic means, attempting to gather information about the recipient of unwelcome conduct;
- d. Vandalism, including attacks on data and equipment;
- e. Direct physical and/or verbal threats against a recipient of unwelcome conduct or loved ones of a recipient of unwelcome conduct, including animal abuse;
- f. Gathering of information about a recipient of unwelcome conduct from family, friends, coworkers, and/or classmates;
- g. Manipulative and controlling behaviors such as threats to harm oneself, or threats to harm someone close to the recipient of unwelcome conduct;
- h. Defamation or slander against the recipient of unwelcome conduct; posting false information about the recipient of unwelcome conduct; posing as the complainant in order to post to websites, news groups, blogs, or other sites that allow public contributions; and/or encouraging others to harass the recipient of unwelcome conduct;

- i. Posing as someone other than oneself to initiate transactions, financial credit, loans, or other contractual agreements;
- j. Arranging to meet the recipient of unwelcome conduct under false pretenses.

2.6 RESOURCES AND SUPPORT FOR VICTIMS/SURVIVORS

Persons who experience misconduct may respond to the experience in many different ways, including feeling confused, vulnerable, out of control, embarrassed, angry, distrustful, stressed, or depressed. The University provides a variety of resources to assist students with healing, safety planning, reviewing complaint options, and securing long-term support.

- a. Confidential assistance and advocacy for students who have experienced sexual misconduct or other unwelcome sexual behavior, dating/domestic violence, and/or stalking:

A student may receive 24-hour assistance from a certified victim advocate by calling the [Rape Victim Advocacy Program](#) (RVAP) at 319-335-6000 or the [Domestic Violence Intervention Program](#) (DVIP) at 800-373-1043. Certified victim advocates are trained to confidentially answer questions, provide information about options, and help with safety planning. They may accompany and provide support to a student during a medical, legal, or student judicial meeting. The University encourages all students who believe they may have been victims of misconduct to contact RVAP or DVIP.

- b. Academic and housing accommodations; interim actions to protect students:

A student who has reported being the victim of sexual misconduct, dating/domestic violence, and/or stalking may contact the [Office of the Sexual Misconduct Response Coordinator](#) at 319-335-6200 to request any of the following:

- 1) a change of on-campus housing location to a different on-campus location if alternate housing is available;
- 2) assistance in securing a transfer of class sections;
- 3) assistance in arranging incompletes, leaves, or withdrawal;
- 4) issuance of a no-contact directive if the University determines that continued contact between a student who has made a complaint, a student who has been accused of sexual misconduct, and/or a witness would be detrimental to any of the parties' welfare;
- 5) other interim actions, when necessary to protect student welfare, such as a campus and/or building ban or interim suspension.

Requests for such arrangements or actions will be granted in appropriate circumstances as determined by the Dean of Students or the Sexual Misconduct Response/Deputy Title IX Coordinator, or their designees.

- c. Protection against retaliation. The University of Iowa prohibits retaliatory action against any person making a complaint of sexual misconduct or against any person cooperating in the investigation of any charge of sexual misconduct (see II-11 Anti-Retaliation). This includes any form of intimidation, threats, or harassment. Acts of retaliation constitute a violation of University policy and of the [Code of Student Life](#) and will result in disciplinary action. Retaliation should be

reported to the Office of the Sexual Misconduct Response Coordinator.

- d. Medical assistance. Students who have experienced a recent sexual assault are strongly encouraged to visit a hospital or clinic to assess and address their medical needs. The exam can assess a victim's injuries and provide necessary medical advice and medication for concerns regarding pregnancy and sexually transmitted infections (STI). A Sexual Assault Nurse Examiner is available at both Iowa City hospitals to perform an evidentiary examination. Receiving an evidentiary examination does not mean that a victim must make a complaint to the University or to law enforcement. Rather, the examination serves to preserve evidence in the event that a victim may wish to make a complaint in the future.

A sexual assault evidentiary exam is fully covered and paid for by the State of Iowa and will not be submitted for insurance purposes.

To secure medical assistance and/or an evidentiary exam, visit:

University of Iowa Hospitals and Clinics
Emergency Department (open 24 hours)
200 Hawkins Drive
Carver Pavilion, Level 1
Iowa City, Iowa 52242
Emergency Medicine phone: 319-356-2233
UIHC Nurseline (operated 24 hours): 319-384-8442

- e. University of Iowa [Department of Public Safety](#). Students who have experienced sexual misconduct, dating/domestic violence, or stalking are encouraged to seek the assistance of the University of Iowa Department of Public Safety at 319-335-5022. If a student is not sure whether criminal conduct is involved, an officer can assist the student in determining whether a crime has been committed. If the misconduct occurred off campus, an officer can assist the student in contacting the appropriate law enforcement agency. A student can request and receive the assistance of the Department of Public Safety without making a criminal complaint or making a complaint to the University. However, in cases of domestic violence, law enforcement officers are mandated to make an arrest of the primary physical aggressor when there is evidence of an assault and a physical injury has occurred.

The Department of Public Safety is committed to ensuring that students who report misconduct receive comprehensive care, regardless of whether or not they wish to make a criminal complaint.

If a student contacts UI Public Safety, an officer will:

- 1) call a certified victim advocate to assist the student in every step of the process;
- 2) accompany the student to the hospital if the student wishes;
- 3) notify the University's Office of the Sexual Misconduct Response Coordinator of the report;
- 4) talk with the student privately and treat the student with respect, sensitivity, and dignity.

If the student feels more comfortable talking with a female or male officer, the Department of Public Safety will do its best to accommodate that request.

Even if an assault took place on non-University property or was reported to another law enforcement agency, students are encouraged to contact the Department of Public Safety for assistance with safety issues while on campus (e.g., protection from particular individuals).

2.7 RESOURCES AND SUPPORT FOR THE ACCUSED

Assistance for students accused of sexual misconduct or other unwelcome sexual behavior, dating/domestic violence, and/or stalking:

- a. Due process. The University will treat accused students with fairness and respect in accordance with the principles of due process. ^[1]_[SEP]A student who is accused of sexual misconduct may be assisted by an attorney or other advisor of his or her choosing. A student who is accused of sexual misconduct should consider seeking the assistance of a private attorney.
- b. The Office of the Ombudsperson can confidentially assist with understanding University policies and the [Student Judicial Procedure](#), listen to concerns, help identify options, and refer to other resources as needed. See <https://uiowa.edu/ombuds/>, or contact 319-335-3608 or ombudsperson@uiowa.edu.
- c. University Counseling Service can confidentially assist in dealing with stress related to the complaint and work to develop strategies for healthy coping. See <https://counseling.uiowa.edu/>, or contact 319-335-7294 or ucs@uiowa.edu.
- d. The Office of the Sexual Misconduct Response Coordinator can assist you with understanding University policies and the Student Judicial Procedure. See <https://osmrc.uiowa.edu/>, or contact 319-335-6200 or osmrc@uiowa.edu.
- e. University prohibition against knowingly false complaints. The University prohibits students from knowingly making false complaints of sexual misconduct (including sexual assault and sexual harassment). Knowingly making false complaints of sexual misconduct constitutes a violation of the [Code of Student Life](#) and will result in disciplinary action. However, a complaint made in good faith is not considered false merely because the evidence does not ultimately support the allegation of sexual misconduct.

2.8 CONFIDENTIALITY

Students who would like to discuss their situations in a private environment, and share or seek information about a sexual misconduct, dating/domestic violence, or stalking issue without making a complaint, have a number of options. At various offices on campus and off campus, students can speak to individuals who have professional or legal obligations to keep communications with the student confidential. When seeking advice and support, students who are concerned about confidentiality should always discuss that concern with the person to whom they are speaking, and should inquire about any limits on that confidentiality.

Generally, under Iowa law, confidentiality applies when a student seeks services from the following persons:

- a. An RVAP victim advocate (319-335-6000) or DVIP victim advocate (800-373-1043) [[IC 915.20A](#)]

- b. A psychological counselor or other mental health professional, including counselors at the University Counseling Service (319-335-7294), the Women's Resource and Action Center (319-335-1486), and the Employee Assistance Program (319-335-2085) [IC [228.2](#) and [622.10](#)];
- c. A health care provider, including medical professionals at Student Health and Wellness and The University of Iowa Hospitals and Clinics [[IC 622.10](#)];
- d. A personal attorney [[IC 622.10](#)];
- e. A member of the clergy [[IC 622.10](#)].

In addition, the staff at the Office of the Ombudsperson (319-335-3608) have a professional obligation to keep their communications with clients confidential and will not disclose those communications unless required to do so by court order or to avoid imminent physical harm.

2.9 MAKING A COMPLAINT OF SEXUAL MISCONDUCT, DATING/DOMESTIC VIOLENCE, AND/OR STALKING

The University takes all incidents of sexual misconduct, dating/domestic violence, and/or stalking very seriously. There are two options for students to make a complaint of sexual misconduct. A student may pursue either or both of these options.

A student can make a UI policy complaint about sexual misconduct, dating/domestic violence, and/or stalking by contacting the Office of the Sexual Misconduct Response Coordinator at 319-335-6200.

A student can make a criminal complaint about sexual misconduct, dating/domestic violence, and/or stalking to the appropriate law enforcement authorities, which would be the UI Department of Public Safety (319-335-5022) in the case of misconduct that occurs on campus. Not all sexual misconduct, dating/domestic violence, and stalking is criminal behavior. Law enforcement authorities can assist a student in determining whether the conduct experienced was criminal in nature and warrants a criminal complaint.

A student may seek and receive help from the Office of the Sexual Misconduct Response Coordinator and/or the UI Department of Public Safety without making a complaint. The University of Iowa will make every effort to respect the privacy of students who seek help and/or report misconduct. The University will weigh requests for no action with its responsibility to protect the community and adhere to federal guidelines that mandate the University's action. While steps are taken to protect the privacy of victims, the University may need to investigate an incident and take action once an allegation is known, whether or not the student chooses to pursue a complaint.

- a. Making a University policy complaint.
 - 1) How to make a complaint to University administration. Students may make a complaint about sexual misconduct by another student, a faculty member, or a staff member by contacting the Office of the Sexual Misconduct Response Coordinator at 319-335-6200.

A student may need support when talking with law enforcement or University administrators. Students are entitled to be assisted by a certified victim advocate at every stage of the process and are encouraged to consult with the victim advocate and bring the victim advocate to meetings.

- 2) When to make a complaint to University administration. There is no time limit on making a complaint to University administration. However, students are strongly encouraged to report incidents of, or share information about, sexual misconduct as soon as possible after the incident occurred. The University may ultimately be unable to adequately investigate if too much time has passed or if an accused individual has left the University. Other factors that could negatively affect the University's ability to investigate include the loss of physical evidence, the potential departure of witnesses, or loss of memory.
- b. Making a report to law enforcement.
- 1) In an emergency: Call 911 from wherever you are, and a law enforcement officer will respond to assist you.
 - 2) In nonemergency situations: Criminal sexual misconduct, including sexual assault, should be reported to the law enforcement agency that has jurisdiction over the location where the assault or abuse occurred. Nonemergency reports to law enforcement may be made as follows:
 - a) If the incident occurred on University of Iowa property, call the University of Iowa Department of Public Safety at 319-335-5022.
 - b) If the incident occurred in Iowa City, call the Iowa City Police Department at 319-356-5275.
 - c) If the incident occurred in Coralville, call the Coralville Police Department at 319-248-1800.
 - d) If the incident occurred in University Heights, call the University Heights Police Department at 319-887-6800.
 - e) If the incident occurred in North Liberty, call the North Liberty Police Department at 319-626-5724.
 - f) If the incident occurred in another area of Johnson County, call the Johnson County Sheriff's Department at 319-356-6020.

Victim advocates have special training in working with law enforcement. The advocates at RVAP (24-hour crisis line, 319-335-6000) can help a student arrange to meet with a law enforcement officer to discuss options, and a student can request that a victim advocate accompany him or her at the meeting. At a student's request, the Office of the Sexual Misconduct Response Coordinator will also assist students in reporting to law enforcement.

2.10 SCOPE OF POLICY: ON CAMPUS AND OFF CAMPUS

This policy covers both on-campus and off-campus conduct, as described below.

- a. On-campus violations. This policy forbids acts of sexual misconduct anywhere on campus. "Campus" includes University-owned or -leased property, streets, and pathways contiguous to University property, or in the immediate vicinity of campus. It also includes the property, facilities, and leased premises of organizations affiliated with the University, including University housing and University-recognized housing. University housing includes all types of University residence housing, such as halls and apartments. University-recognized housing includes fraternity and sorority chapter dwellings.

- b. Off-campus violations. Off-campus violations, including online behavior, that affect a clear and distinct interest of the University are subject to disciplinary sanctions. For example, sexual misconduct by a student is within the University's interests when the behavior:
- 1) involves conduct directed at a University student or other member of the University community;
 - 2) occurs at a University-sponsored activity, sporting event, or educational activity (e.g., residency, internship, service-learning experience, field trip), or at a student organization-sponsored activity;
 - 3) occurs while the accused or complainant was acting in an official capacity for the University;
 - 4) constitutes a violation of federal, state, or local law or ordinance;
 - 5) violates University rule or policy; or
 - 6) demonstrates a threat to campus safety and security. Violations of this policy involving violent conduct, alcohol, or drugs, occurring in Johnson County, Iowa, are presumed to affect a clear and distinct interest of the University.

B. Appendix II: Genetics PhD Program Committees

Executive Committee

Assists and advises the Director in the administration of program. Composed of: 1) the Director of the Genetics PhD Program (appointed by the Graduate College Dean for a 3-year term); 2) one member of the Program elected at large (for a 3-year term); 3) a student member of the Program elected by the students (for a 2-year term); 4) the PI of the Training Grant; 5) the Chair of the Admissions Committee, 6) the Chair of the Curriculum Committee, 7) the Chair of the Graduate Affairs Committee, 8) Chair of Post-Comps Advising Committee. The last five positions will be appointed by the Program Director.

Admissions Committee

Reviews and evaluates qualifications of applicants; invites outstanding applicants to interview; recommends admission decision to program Director. (Annual appointments made by Genetics Program Director.)

Graduate Affairs Committee

Advises first-year students on requirements and registration; assists them in lab selection and arranging rotations. Advises students until they have a research sponsor and a thesis committee; may advise students who are in the process of changing research sponsors. Monitors progress of all students and reviews GPAs once per semester; notifies students of academic probation; handles all student appeals. (Annual appointments made by Genetics Program Director.)

Post-Comps Advising Committee

Meets at least annually with each post-comps student to advocate for student career development, and research and publication progress. (Annual appointments made by Genetics Program Director.)

Curriculum Committee

Conducts yearly review of curricula. Evaluates new courses for appropriateness of inclusion. Recommends addition (and category) or deletion of courses to Director. (Annual appointments made by Genetics Program Director.)

Seminar Committee

Selects speakers for the Genetics seminar series by polling the Genetics community. (Annual appointment of Seminar committee members made by Genetics Program Director.)

Retreat Committee

Schedules speakers and makes all arrangements for annual student/faculty retreat. (Annual appointment made by Genetics Program Director.)

Faculty Membership Committee

Reviews new faculty applications before submission to Executive Committee. Monitors faculty participation and makes recommendations to the Director regarding faculty 3-year reappointments. (Annual appointments made by Genetics Program Director).

Website Committee

Responsible for Program website content, design and presentation. (Annual appointment of Website committee members made by Genetics Program Director.)

Financial Outreach Committee

Responsible for soliciting funds to support the student-run seminar and events hosted by the student-run Social Activities Committee.

Genetics PhD Program Director

Appointed for a three-year term by the Dean of the Graduate College.

Appendix III: Certificate in College Teaching

The Graduate Certificate in College Teaching is offered through the University of Iowa Graduate College. For some students, completion of this certificate is a possibility during their time in the program, with eligibility determined on a case-by-case basis. Prior to affiliating with a lab, a student who is interested in pursuing the Graduate Certificate in College Teaching must discuss their interest with their potential advisor and complete the *Certificate in College Teaching Completion Agreement for Genetics Students* (see Appendix). Advisors have the prerogative to allow or deny students to pursue the certificate. The *Certificate in College Teaching Completion Agreement for Genetics Students* requires signatures from the student, advisor and program.

As of August 21, 2014, the requirements for the Graduate Certificate in College Teaching are: 1) students must complete courses in each of the 3 categories listed below, and 2) minimum of 12 semester hours of approved coursework is required for the Graduate Certificate in College Teaching. Previous teaching experience will not be permitted to waive any of these requirements.

For additional information and to enroll in the certificate program, please contact Dr. [Dennis R. Maki](#), Director, or [Mitchell Kelly](#), Associate Director.

Category 1

Minimum of 6 s.h. required, at least one of the following courses **MUST** be taken:

- Teaching and Learning in Higher Education (3 sh) GRAD:7385
- Seminar in College Teaching (1-3 sh) PSQF:6217
- Teaching Sociology (3 sh) SOC:7010
- Teaching Epidemiology (3 sh) EPID:7200
- Design of Instruction (3 sh) PSQF:6205

One of the following courses **MAY** be taken

- Universal Design and Accessibility for Online Learning (3 sh) PSQF:6211
- Web-Based Learning (3 sh) PSQF:6215
- Tools and Utilities for Online Teaching (3 sh) PSQF:6216

Note: By completing one Category 1 course, Genetics students enrolled in the Graduate Certificate in Teaching fulfill 1 of the 5 seminar credits required in the standard Genetics Program curriculum.

Category 2

Minimum of 3 sh required.

Must enroll twice, under the supervision of TWO different professors.

- Enroll in EDTL/EPLS/HHP/RCE:7380 Practicum in College Teaching (1-3 sh) when supervised by a College of Education faculty member.
- Enroll in GRAD:7400 Practicum in College Teaching, (1-3 sh) when supervised by a faculty member in a College other than Education.

Note: By completing the Practicum in College Teaching, Genetics students enrolled in the Graduate Certificate in Teaching may fulfill one of the two TAs required in the standard Genetics Program curriculum, provided that the conditions outlined in the *Certificate in College Teaching Completion Agreement for Genetics Students* are met.

Category 3

Minimum of 3 sh required.

- ePhD Portfolio in College Teaching (3 sh) EALL:7475

Certificate in College Teaching Agreement for Genetics Students

Student: _____

Research Mentor: _____

For details of the Certificate, the student and mentor should consult the GCCT website:
<https://education.uiowa.edu/services/office-graduate-teaching-excellence-ogte/graduate-certificate-college-teaching>

The student plans to complete the Graduate Certificate in College Teaching by enrolling in the courses checked below.

Category 1: Coursework (2 courses/6 sh minimum)

At least one of the following courses MUST be taken:

- EDTL/EPLS/GRAD/RCE/PSQF:7385 Teaching and Learning in Higher Education 3 sh
- GRAD/PSQF:6217 Seminar in College Teaching 3 sh
- EPID:7200 Teaching in Epidemiology 3 sh
- SOC:7010 Teaching Sociology 3 sh
- PSQF:6205 Design of Instruction 3 sh

One of the following courses MAY be taken:

- PSQF:6211 Universal Design and Accessibility for Online Learning 3 sh
- PSQF:6215 Web-Based Learning 3 sh
- PSQF:6216 Tools and Utilities for Online Teaching 3 sh

Note: By completing one Category 1 course, Genetics students enrolled in the Graduate Certificate in College Teaching fulfill 1 of the 5 seminar credits required in the standard Genetics Program curriculum.

Category 2: Required Teaching (2 practica/3 sh minimum)

Please fill out the semester hours you plan to take for each practicum (1-2 sh per practicum).

- EDTL/EPLS/RCE/PSQF:7380 Practicum in College Teaching supervised by a College of Education faculty member. Number of practica: _____, Total sh: _____
- GRAD:7400 Practicum in College Teaching, supervised by a faculty member outside of the College of Education. Number of practica: _____, Total sh: _____

By completing the Practicum in College Teaching, Genetics students enrolled in the Graduate Certificate in College Teaching may fulfill one of the two TAs required in the standard Genetics Program curriculum, provided they satisfy both the practicum requirements and at least two of the following:

1. Hold weekly office hours
2. Lead a weekly discussion section
3. Contribute to materials for assessment (quizzes, exams, clicker questions, etc.)

Note: Like all TA positions, the use of a teaching-certificate practicum to fulfill a TA requirement must be approved in advance by the Graduate Advising Committee.

Category 3: Required Portfolio (3 sh minimum)

EALL:7475 PhD ePortfolio in College Teaching 3 sh

Tuition Agreement

Tuition for Teaching Certificate Coursework will be paid by:

Student

Mentor

Other (describe) _____

By signing below, I agree to complete the Graduate Certificate in College Teaching as prescribed above.

Student Signature: _____ Date: _____

By signing below, I agree to the student completing the Graduate Certificate in College Teaching as prescribed above.

Mentor Signature: _____ Date: _____

The Genetics Program approves this plan and consents to student completion of the Graduate Certificate in College Teaching.

Program Signature: _____ Date: _____