

Faculty Professional Responsibilities

Professional Ethics

Professors, guided by deep convictions of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subjects is to seek and to state the truth as they see it. To this end they devote their energies to developing and improving their individual scholarly competence. Professors accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never seriously hamper or compromise this freedom of inquiry.

Faculty members encourage the free pursuit of learning in their students. They hold before them the best scholarly standards of their discipline. They demonstrate respect for the students as individuals and adhere to their proper roles as intellectual guides and counselors. They make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflect their true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation of students for their private advantage and acknowledge significant assistance from them.

Faculty members have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of the institution.

Faculty members seek above all to be effective teachers and scholars. Although they observe the stated policies and procedures of the institution, they

maintain their right to criticize and seek policy revision. They determine the amount and character of the work they do outside the institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of their services, individual faculty members recognize the effect of that decision upon the programs of the institution and give due notice of such intentions.

Faculty members have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subjects, to their students, to their profession, and to the institution. When they speak or act as private persons, they avoid creating the impression that they speak or act for the college or University. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Southeast Missouri State University Conflict of Interests Policy

PREAMBLE

A fundamental principle of ethics is that any person who exercises discretionary authority on behalf of the University may not use, or appear to use, this authority for his or her own personal benefit.

It is, therefore, the basic policy of Southeast Missouri State University that all members of the University community have a duty to be free from the influence of any conflicting interests (as well as free from the influence of any interests which may appear to be conflicting) when they act on behalf of the University or represent it in negotiations or advise others within the University community with respect to dealing with third parties. Members of the University community are expected to act on behalf of the University on the sole basis of that which is in the best interests of the University without favor

or preference (and without prejudice) to the third parties based on personal considerations.

GENERAL POLICY:

The Regents, faculty, employees and agents of the University shall faithfully discharge their duties and shall refrain from knowingly engaging in any outside matters of financial interest incompatible with the impartial, objective and effective performance of their University duties. They shall not realize personal gain in any form which would influence improperly the conduct of their University duties. They shall not knowingly use University property, funds, position, or knowledge gained as a result of association with the University for personal or political gain. They shall be alert to and abstain from conduct which has the "appearance" of conflict of interests. They shall inform their supervisors in writing of reasonably foreseen potential conflicts. The faculty and staff members are expected to use their best judgment in carrying out their duties and responsibilities as deemed appropriate to the individual's profession and the University's mission.

USE OF CONFIDENTIAL INFORMATION:

Confidential information about the University obtained by reason of position or employment by the University shall not be used for personal financial gain or to the unfair advantage of another person.

OUTSIDE BUSINESS INTERESTS AND EMPLOYMENT:

Employees of the University, whether employed full time or part time, should avoid outside business interests or employment which may interfere with the performance of their duties to the University.

Commercial transactions with students should be avoided, particularly if the employee has decision-making authority over a student with respect to University matters, such as grades, advisement, academic probation, disciplinary sanctions, scholarships, loans, or student employment.

Notification of outside employment for remuneration or of outside business interests requiring substantial personal attention (including consultation requests and employment at other academic institutions) must be given in writing in accordance with the applicable personnel policy.

BUSINESS POLICIES AND PROCEDURES MANUAL: [03-11] OTHER EMPLOYMENT PRACTICES: Outside Employment

Any outside employment for remuneration must be reported in writing to the employee's supervisor. Prior approval is not necessary.

FACULTY HANDBOOK: FACULTY PROFESSIONAL RESPONSIBILITIES: Outside Employment:

- a. Academic Year - Faculty members under contract for full-time employment have a paramount responsibility to the University. Notification of any outside employment for remuneration during the academic year, including employment at other institutions, must be given in advance and in writing to the department chairperson, college dean, and Provost. Prior approval is not necessary, but reporting is required.
- b. Summer - Faculty members not under contract to provide services to the University during the summer months may be engaged in other employment.

CONSULTATION:

Consultation, whether income-producing or otherwise, is the application of professional and scholarly expertise in the external community. It is the policy of the University to permit consulting activities that

- 1. Are related to the professional interests and development of the faculty member or employee.
- 2. Do not interfere with regular duties.
- 3. Do not utilize University materials, facilities or resources except as may be allowed under University business policies.

4. Are in agreement with the American Association of University Professors/American Council on Education (AAUP/ACE) Statement on Conflict of Interests and with the requirements of accreditation for the particular school or unit in question.
5. Do not compete with the work of the University and are not otherwise contrary to the best interests of the University.
6. Do not violate federal or state law.
7. Do not represent a conflict of interests under other policies of the University.

PATENTS AND COPYRIGHTS:

Textbooks, tapes, software and other learning materials, or property or equipment, for which a patent or copyright is held by an employee of the University or members of the employee's family, may be purchased for use by the University so long as the employee involved does not participate in the decision to make such purchase and any royalties for the purchase or use of such material, property or equipment are returned to the University, and provided such purchases or use shall not be in violation of R.S. Missouri Sec. 174.220. Also see Patents and Copyrights Policy as printed in the Southeast Missouri State University FACULTY HANDBOOK.

USE OF UNIVERSITY STATIONERY AND LOGOS:

Neither the name of the University nor any of its graphic identification symbols are to be used in printed materials intended to endorse or promote individual enterprises or to otherwise enhance private gain without the prior written permission of the University President. Official University stationery may not be used in outside business, personal and other private or political activities of employees.

NEPOTISM:

University employees shall not participate in the selection, hiring, promoting, job assignment, demotion, disciplining, or supervision of another employee who is related within the fourth degree of consanguinity of affinity.

DISCLOSURE:

University personnel shall promptly notify the appropriate supervisory authority in writing of known conflict of interests situations and shall refrain from participation in the matters involved. This reporting requirement is in addition to, and does not relieve University personnel from, the responsibility of making disclosures required by Chapter 105 of the Missouri statutes pertaining to conflict of interests.

SANCTIONS:

Conduct by University personnel that violates state law or the University's policies, regulations or rules pertaining to conflict of interests shall constitute a breach of duty to the University and shall be subject to disciplinary action, including possible termination of employment. Such conduct may also be subject to criminal prosecution under Chapter 105 of the Revised Statutes of Missouri.

DISPUTE RESOLUTION:

Complaints concerning conflict of interests shall be presented in writing to the Dean of the Graduate School officer of the University, who shall investigate the complaint and attempt to bring about an informal resolution of the matter. If the matter cannot be satisfactorily resolved informally, the matter shall be referred to the Provost (in case of academic personnel) or the Personnel Director of the University (in case of non-academic personnel), and the matter shall then be handled under the appropriate disciplinary procedures applicable to the employee involved.

NON-DISCRIMINATION:

The University shall not discharge, threaten, or otherwise discriminate against any person because of a report, verbal or written, of a violation or suspected violation of this policy or of the law relating to conflict of interests.

RESERVATION OF RIGHT TO AMEND POLICY:

This policy may be amended at any time, and from time to time, as the Board of Regents may deem necessary or appropriate or as may be required by law. To the extent necessary, any other policies of the University which are in conflict with this policy are deemed amended so as to conform to this policy, and this policy shall be deemed amended, if necessary, so as to conform to applicable law.

Approved by Board of Regents - December 5, 1991

STATE STATUTES AS RELATED TO CONFLICT OF INTERESTS POLICY APPROVED BY BOARD OF REGENTS ON DECEMBER 5, 1991.

STATUTORY REQUIREMENTS:

All University policies are subject to the requirements of applicable state and federal laws and regulations. Personnel dealing with state and federal authorities in connection with grants, contracts, or other matters are responsible for inquiring into the possibility of conflict of rules or regulations applicable to the particular matter and acting appropriately. Principal applicable Missouri statutory requirements are summarized below, but reference to the full text should be made in the event of questions:

- 1.No faculty member, officer or employee of the University shall keep for sale or be interested, directly or indirectly, in the sales of any school furniture or apparatus, books, maps, charts, or stationery used in the University; nor be interested, directly or indirectly, in any contract or purchase for building or repairing any structure, or for fencing or ornamenting the grounds, or furnishing any supplies or material for the use of the University. (R.S.Mo. Sec. 174.220)
- 2.No faculty member, officer, or employee of the University shall:
 - a.act or refrain from acting in any capacity in which he or she is lawfully empowered to act by reason of any payment, offer to pay, promise to pay, paid by the University. (R.S.Mo. Sec. 105-452[1])
 - b.use confidential information obtained in the course of or by reason of his/her employment or official capacity in any manner with intent to result in finan-

- cial gain to himself or herself, his or her spouse, dependent child, or any business with which he or she is associated.(R.S.Mo. Sec. 105- 452[2])
- c.disclose confidential information obtained in the course of or by reason of his or her employment or official capacity in any manner except as authorized by law. (R.S.Mo. Sec. 105.452[3])
 - d.perform any service for the University for any receipt or compensation other than of the compensation provided for the performance of his or her official duties, except on transactions made pursuant to an award a contract let or sale made after public notice and competitive bidding, provided that the bid or offer is the lowest received and provided further that such faculty member, officer or employee shall take no part in the establishment of specifications for the contract or in the consideration of the bids. (R.S.Mo. Sec. 105-454[2])
 - e.sell, rent or lease any property to the University for consideration in excess of five hundred dollars per year unless the transaction is made pursuant to an award on a contract let or sale made after public notice and, in the case of property other than real property, competitive bidding, provided that the bid or offer accepted is the lowest received. (R.S.Mo. Sec. 454[2])
 - f.participate in influencing or making any decision of the University when the result of the decision may be the acceptance of the performance of a service or the sale, rental, or lease of any property to the University for a consideration in excess of five hundred dollars to such faculty member, officer, or employee, or to the spouse or dependent child of such regent, officer, or employee, or to any business with which such faculty member, officer, or employee is associated unless the transaction is made pursuant to an award on a contract let or sale made after public notice and (in the case of property other than real property) competitive bidding, provided that the bid or offer accepted is the lowest received. (R.S.Mo. Sec. 105.454[3])
 - g.attempt to influence a decision of the University during his or her term of office of employment and for a period of one year thereafter for any consideration other than the compensation provided for the performance of the official duties of such faculty member, officer, or employee. (R.S.Mo. Sec. 105.454[4]); (R.S.Mo. Sec. 105-454[5])
 - h.perform any service for any consideration for any person, firm, or corporation after termination of his or her office or employment in relation to any case, decision, proceeding or application with respect to which he or she was

directly concerned or in which he or she personally participated during the period of his or her service of employment. (R.S.Mo. Sec. 105-454[6])

i. serve in a decision-making capacity in any proceeding in which he or she knows that:

iA party to the proceeding is any of the following

- A. Himself or herself;
- B. His or her great-grandparent;
- C. His or her grandparent;
- D. His or her parent, stepparent, guardian, or foster parent;
- E. His or her child, stepchild, foster child, or ward;
- F. His or her niece or nephew;
- G. His or her brother or sister;
- H. His or her uncle or aunt;
- I. His or her cousin;
- J. Any business entity in which he or she has an ownership interest;
- K. Any trust in which he or she has any legal equitable or beneficial interest. (R.S.Mo. Sec. 105.464[1(1)])

ii He or she knows the subject matter is such that he or she may receive a direct financial gain from any potential result of the proceeding, except, however, that this subsection shall not be considered as prohibiting participation in any proceeding by reason of the fact that the University is a party to the proceeding (R.S.Mo. Sec. 105.464[1(2)])

iii Any faculty member, officer, or employee of the University who becomes aware of a conflict under this or any other section of this policy shall immediately announce such conflict and withdraw from participation in the proceeding. (R.S.Mo. Sec. 105.464[2])

Teaching and Classroom Practices

Teaching Responsibilities

1. Normal Load During the Academic Year - The normal teaching load per semester is the equivalent of twelve semester hours, with a range of nine to fifteen semester hours. In addition to classroom teaching, a faculty member is expected to perform other services in the interests of the department and the students it serves, e.g., committee work and advising students. While departmental faculty are expected to share equally in these activities, the variety and volume of services administered through a department will result in diversity among individual teaching and non-teaching assignments.

The responsibility for making these assignments rests with the department chairperson, with the advice of the department and the approval of the college dean and Provost. These assignments should be made with the aim of making the best utilization of faculty talents while distributing the load as equitably as possible, if not in each semester, then over several semesters.

In some instances, a faculty member may be asked to teach a remunerated class overload. Normally, a faculty member will teach no more than one overload class per year and never more than one per semester.

2. Teaching Assignments During the Summer Session - Faculty members are neither required to teach in the summer nor are they guaranteed summer employment. Rather, course offerings in the summer are determined by student demand and programmatic needs. Since these determinants vary from discipline to discipline, teaching opportunities in the summer vary from department to department. In order to deal with these circumstances as equitably as possible, the following procedures are followed in determining summer teaching assignments:

- a. Summer Teaching Contracts - Once the summer schedules have been prepared by the departments and approved by the college deans and the Provost, each college dean notifies the faculty members in his/her college of their projected employment status for that summer. Projected teaching assignments are specified, noting enrollment minimums

needed in order for classes to be offered. Contracts are authorized for classes achieving minimum enrollment levels through pre-enrollment. If classes do not achieve minimum enrollment levels through pre-enrollment, either they are canceled or tentative contracts are issued, stipulating that the classes will be offered only if minimum enrollment levels are reached through regular enrollment. All decisions regarding finalization of the summer schedule are made by the director of the summer session with the advice of department chairpersons and college deans and the approval of the Provost.

- b. Summer Overloads - No regular or visiting faculty member will teach an overload during the summer session unless a qualified member of the regular faculty without a full-time assignment is not available to teach the course in question (assuming minimum enrollments have been reached).
- c. Visiting Professors - Visiting professors are employed to teach summer courses only when full-time, qualified members of the regular faculty, within or outside the department in which the courses are offered, are unavailable.

Faculty summer salaries for a full load assignment equal 16.5 percent of the base salary for the preceding academic year.

3. Outside Employment

- a. Academic Year - Faculty members under contract for full-time employment have a paramount responsibility to the University. Notification of any outside employment for remuneration during the academic year, including employment at other institutions, must be given in advance and in writing to the department chairperson, college dean, and Provost. Prior approval is not necessary, but reporting is required.
- b. Summer - Faculty members not under contract to provide services to the University during the summer months may be engaged in other employment. Those under contract to provide services to the University during the summer months, if their contractual period with the University overlaps periods of outside employment, are subject to the reporting requirements outlined above.

- 4. Notification of Necessity to Miss a Class - Faculty members are expected to meet all classes and keep all office hours. If a faculty member is unable to meet a

scheduled class because of sudden illness or other emergency, he/she should notify the department chairperson or, if that person is unavailable, the college dean or the Provost. When the absence is anticipated, it is the faculty member's responsibility to make arrangements to cover the class, subject to the approval of the department chairperson and the college dean.

5. **Course Work** - To enroll for course work, creditable for rank, tenure, and/or salary purposes, a faculty member must secure the endorsement of the department chairperson and the college dean and the approval of the Provost, based on a written request describing the faculty member's proposed educational plans. Enrollment for any other course work must also be reported in writing to the department chairperson, college dean and the Provost. Such plans to pursue additional graduate work shall be limited to colleges and universities accredited by the North Central Association and other such accrediting associations.

Within any single department, the number of faculty having their highest advanced degree or doing graduate work from any one institution usually shall not exceed one third of the total of those within the department holding advanced degrees and enrolled in programs leading to advanced degrees.

Eight-Week Interim Grades

During the eighth week of each spring and fall semester, an interim grade shall be reported to the Registrar's Office in an approved fashion for each undergraduate student in each class, as an indication of that student's academic performance as of that time. Internships, independent study classes, eight-week classes, and graduate classes are exempt from these reporting requirements. Interim grades will be reported in the same format (letter grade, credit/no credit) as the final course grade for that class. For studio, clinical, field classes, etc., in which progress may be difficult to assess by conventional means, a department may develop guidelines by which the instructor can gauge student progress for reporting purposes.

A student's reported interim grades shall be made available by the Registrar's Office to: 1) that student through an on-line mechanism, 2) that student's faculty advisor, 3) the college advising center to which that student is assigned, and 4) other units/entities authorized by the student to receive them, such as

Athletic Advising, International Programs, Learning Enrichment Center, fraternities, sororities, etc. These units/entities shall receive the student progress information which they require solely through this reporting mechanism, and shall not request faculty assessment of student progress through other means. Faculty receiving such requests are entitled to refuse or disregard them.

A student receiving an interim grade below a C, or one indicating unsatisfactory progress, shall receive a follow-up letter from the Dean of Students, sent to the student's temporary address. In this letter, the student will be provided with suggestions for improving performance, be notified of available university resources, and be encouraged to take responsibility for his/her own academic success. The interim grade will be replaced by the final grade, and no permanent record of the interim grade will be kept.

This program of eight-week interim grades shall expire following the sixth semester of its use, unless reauthorized by the Faculty Senate.

Approved by the Faculty Senate, Bill 02-A-01, January 30, 2002

Approved by Board of Regents, February 25, 2002

Amended by Faculty Senate, Bill 05-A-03, May 4, 2005

Approved by the Board of Regents

Advisement of Students

Each student is assigned an advisor. Undeclared students are advised by the Coordinator of Academic Advising for the School of University Studies. Students who have declared a major are advised by faculty in their major departments. Students must consult with their advisors to obtain their degree audit reports, to enroll, and to make changes in their class schedules.

Each college has an advising office which coordinates advising in that college for undeclared majors within the college. All questions regarding advising should be directed to a college advising office. All faculty members should be prepared to carry out this responsibility as assigned by the department chairperson.

Class Attendance Policy

Faculty Senate Bill 86-A-03 begins here.

Students are expected to attend all classes and to complete all assignments for courses in which they are enrolled. An absence does not relieve the student of the responsibility to complete all assignments. If an absence is associated with a University-sanctioned activity, the instructor will provide an opportunity for assignment makeup. However, it is the instructor's discretion to provide, or not to provide, makeup work related to absences for any other reason.

A student not present for class during the entire initial week of a scheduled course may be removed from that course roster unless notification is given to the course instructor by the end of the first week. Questions regarding the removal process should be directed to the department chairperson.

Approved by Faculty Senate, Bill 86-A-03-March 1986

Approved by Board of Regents-June 1986

Office of the Provost - July 1, 1987

Approved by Board of Regents - July 23, 1987

"Class Attendance Policy in Developmental Courses" Deleted, Bill 06-A-01, Approved by President March 14, 2006

Office Hours

Each faculty member is required to schedule at least three office hours per week and should otherwise be accessible for conferences with students by appointment. A schedule of each faculty member's regular office hours should be posted for the convenience of students and a copy made available to the department chairperson.

Examinations

It is expected that periodic examinations will be given in every course. Final examinations are required and should be administered at the times established for them in the regular or special final examination schedules. Faculty

requests for exceptions from either of these schedules will be granted only in cases of extreme hardship.

A student seeking to take a final examination at an alternate time must submit a request in writing to the instructor. Requests granted must be approved in writing both by the faculty member and the department chairperson.

Faculty members are encouraged to submit final grades to the Registrar's Office within 24 hours of each final examination. Final grades must be submitted by the deadlines appearing on the final grade sheets.

Incomplete Grades

Faculty Senate Bill 81-A-03 begins here.

An incomplete ("I") may be given when the undergraduate student is doing passing work but is unable to complete all requirements because of unusual or unique circumstances acceptable to the instructor. In no case may an "I" be agreed to by an instructor prior to the drop date. An "I" may not be used to permit a student to repeat a course or to improve a grade.

The student and instructor must complete the Application for Incomplete Grade form, normally prior to the submission of final grades. If the instructor approves the "I," requirements for completing the course will be specified on the application. The instructor will deposit a copy of the completed application in the department office for reference.

The "I" must be removed during the student's next semester in residence, exclusive of the summer session, or it will be computed in the grade point average as an "F."

Approved by Faculty Senate, Bill 81-A-03 - January 1982

Approved by Board of Regents - January 1982

Grade Appeal Procedures

Faculty Senate Bill 00-A-01 begins here.

It is the responsibility of the faculty members of Southeast Missouri State University to communicate to students early in the term a clear statement of the grading practices and procedures that will be used to determine the student's final grade. Grading procedures and criteria should be included in the course outline provided to students. If a student believes those practices and procedures were not consistently and accurately followed when the faculty member determined the student's final grade for the course, the student shall have the right to appeal the case first with the faculty member, then with the department chair, and finally, with a committee of faculty members. It should be noted that grade appeals are primarily for instances of capricious grading on the part of the faculty member and it is the obligation of the student to prove this capriciousness. The issuing of grades is an important responsibility of the faculty and should be treated as such. For instances not dealing with capricious grading, other avenues of appeal may be open to students, including actions involving the University Student Affairs Committee.

In order to maintain accurate records, faculty members are recommended to retain certain items for various time periods. These are:

- a. Grade records. These should be retained for at least one year following the completion of an academic year.
- b. Class outlines. These should be retained for at least one year following the completion of an academic year.

Course papers/projects/etc. These should be retained by the instructor for a period of at least one semester following the completion of a course. When graded assignments are returned to students during a course, students should be alerted to retain these materials themselves until the grading and appeal periods have been completed.

Procedures:

Students are responsible for meeting the standards of academic performance established for each course in which they are enrolled. The establish-

ment of the criteria for grades and the evaluation of student academic performance are responsibilities of the instructor.

This grade appeal procedure is primarily for the review of allegedly capricious grading or incorrect recording of a grade, and not for review of the instructor's evaluation of the student's academic performance. Capricious grading, as that term is used here, comprises any of the following

- A. The assignment of a grade to a particular student on some basis other than the performance in the course;
- B. The assignment of a grade to a particular student according to more exacting or demanding standards than were applied to other students in the course;
- C. The assignment of a grade by a substantial departure from the instructor's previously announced standards.

For instances concerning appeals not involving capricious grading, other appeals processes may be initiated.

Appeal Steps:

Students should be encouraged to resolve immediate grading questions when they occur and keep copies of exams, projects, and other graded assignments at least until grade reports are received following the completion of a course.

Step 1.

If the final course grade is in question, the student should first discuss the grade fully with the instructor of the course. This informal appeal may occur at any time within the first six weeks of the next regular semester (Fall or Spring) following the receipt of the grade, but it is strongly suggested that this inquiry take place as soon as possible.

If an informal appeal does not resolve the problem, the student may file a formal written appeal to the instructor by October 1 (Fall semester) or March 1 (Spring semester). Included in the written appeal should be the basis for the

appeal and copies of pertinent documents which support the appeal. The letter should include the full name of the student, the student's social security number, course number, course title, semester and year enrolled, section number, and the name of the instructor. The instructor of the course should respond in writing to this appeal request within two weeks of receiving the request and no later than October 15 (Fall) or March 15 (Spring). If the instructor is no longer available on campus, the department chair may try to contact the instructor or may act in place of the instructor. The unavailability of the instructor may necessitate a slight change in time frame, if so determined by the department chair.

Step 2.

If the matter cannot be resolved by interaction with the instructor for any reason, the student may file a written appeal with the department chair within two weeks of receiving the instructor's response, or by November 1 (Fall) or April 1 (Spring). The department chair may request a meeting with the student and the instructor in order to mediate a possible settlement of the disagreement and must respond to the appeal within two weeks, or by November 15 (Fall) or April 15 (Spring). It is neither the right nor within the responsibility of the department chair to change the grade, but rather to find whether any error may have been made and to counsel the faculty member on this regard. If the instructor is no longer available on campus, the department chair may try to contact the instructor or may act in place of the instructor. The unavailability of the instructor may necessitate a slight change in time frame, if so determined by the department chair. In the event that the Department Chair is the instructor whose grade is being questioned, the College Dean will function as noted above. Should the Dean or other administrative officer be the instructor whose grade is being questioned, the Chair of the department to which the administrator is assigned will handle the appeal process.

If the student still believes the grade was issued in error, one further step may be taken.

Step 3.

If the matter is still not resolved through mediation with the department chair, a three member committee shall be appointed by the chair to handle the final appeal. This committee shall be made up of three full-time tenured or tenure track faculty members, two or whom should be from outside the department in

which the appeal was initiated, and may be a regular standing committee or a committee specially convened as circumstances warrant. A written appeal, including supporting documentation, must be made by the student to this committee. This appeal should be received in the departmental office no more than two weeks following the department chair's recommendation. It is requested that the committee then investigate the matter and render a decision within one month. This committee may reject the student's appeal, ask the faculty member to change the grade to an appropriate level, or, as a last resort, change the grade themselves. The decision of the faculty appeal committee constitutes the final level of university appeal open to the student.

Under no circumstances may a grade appeal be initiated more than one year after the grade has been issued.

Approved by Faculty Senate, Bill 00-A-01 - February 16, 2000

Approved by Board of Regents - March 24, 2000

Repeating Courses

Undergraduate students may repeat a given course to raise the grade provided they have not completed a more advanced course for which the repeated course is a prerequisite. When a course is repeated, the first grade remains on the record, but the latter grade is used in computing grade points and hours accumulated. In the calculation of honors at graduation, all course grades are to be considered by the Registrar. Students must have the permission of the Registrar to repeat courses.

Student Evaluation of Instruction

Faculty Senate Bill 99-A-03 begins here.

Student evaluation of instruction at Southeast Missouri State University shall be conducted for three distinct purposes:

1. to enable individual faculty members to continually improve the quality of their classroom instruction,

2. to provide individual faculty members with a measure of perceived effectiveness of instruction,
3. to enable students to provide input concerning the quality and content of classroom instruction,
4. to acquire institution-wide measures which may be used to compare and contrast Southeast with other universities.

Student Evaluation for Improvement of Classroom Instruction and Content

In recognition of the strong teaching mission of Southeast Missouri State University, formal faculty evaluation processes and incentives shall be implemented and maintained to encourage continuing improvement in instruction and a commitment to quality instruction by all faculty. Procedures and processes should not only include rigorous peer review and self-evaluation of instructional effectiveness but also systematic, credible student evaluation of instruction.

All faculty shall be evaluated by systematic, anonymous student evaluations in all sections of each course taught. Those faculty teaching the same students in an integrated framework of interconnected courses, such as the College of Education's Block program, may have the option to administer just one evaluation per set of courses.

The course/instructor evaluation instrument(s) used within a department during the semesters when a nationally-normed, university-wide evaluation instrument is not utilized must be approved by a 2/3 vote of the faculty of that department. The instrument(s) should recognize the diversity of subject matter, instructional styles, and student groups across and within disciplines. Faculty may add additional questions to the instrument(s) to ensure that all appropriate data needed for instructional improvement are provided.

The student evaluation is to be administered by the departmental chair or designate. Appropriate procedures will be developed by the Center for Scholarship in Teaching and Learning and/or department chairs to require timely administration and processing of the evaluations and to ensure the integrity of the entire student evaluation process. Instructions for completing the instru-

ment and adequate time for the completion in class will be provided. Students will be informed (a) that the data and written comments on the evaluation form are confidential, (b) that the data will be an important part of the information considered in improving instruction at Southeast Missouri State, and (c) that the instructor will not have access to the data until final grades have been processed. The faculty member will not be present during the evaluation, and the results will not be available until after final grades have been processed.

The Center for Scholarship in Teaching and Learning will assist in the processing of the evaluations. The results will be returned to the faculty member, department chair, and others as designated by the faculty member to be used for teaching improvement. The Center for Scholarship in Teaching and Learning will receive a copy of the results from the nationally-normed instrument and may receive a copy of the department assessment if the faculty member so desires. The results of the evaluation of the department chair will be distributed to the dean and a faculty member designated by the department. Confidentiality among these individuals must be maintained. Any other use of the results requires the approval of the faculty member, except in cases where the aggregate data are used for specific institutional reporting purposes.

As part of its commitment to improving and assuring quality instruction, the University shall provide professional development resources and assistance to improve teaching effectiveness. The Director of the Center for Scholarship in Teaching and Learning will be responsible for coordinating effective mentoring systems, seminars, workshops, instructional materials, and other professional development activities and for ensuring that faculty development is suggested and professional development resources provided to support improvement of instructional quality.

This policy on student evaluation of instruction will be evaluated by the Faculty Senate every three years, following 3 cycles of test administration, with a formal major review during the 2003-2004 school year.

Student evaluations may be utilized by the instructor, in accordance with existing department tenure and promotion policies, as data to demonstrate

teaching effectiveness in situations such as, but not limited to, tenure and promotion.

In summary, student evaluation of instruction may be viewed as part of a continuous, formative process of assessment used to measure the effectiveness of classroom instruction by faculty members. This process should culminate in an overall view of the instructional and content effectiveness of the courses being examined.

Student Evaluation for Comparing and Contrasting Southeast with Other Universities

A nationally normed student rating form will be selected by a method recommended by the Faculty Senate and will be designated for this institution-wide purpose. This student rating form will be administered campus-wide, once every other year, in every section of every class taught that semester, except where the use of the instrument is deemed invalid by the developer or where an integrated set of courses may best be evaluated by a single administration of the evaluation instrument. The selected nationally normed student rating form will be administered 3 times before a formal review of effectiveness during the 2003-2004 school year. The costs of administration of this form shall be borne by the Office of the Provost. The data collected from this administration will be used to compare and contrast Southeast to other universities. The nationally normed instrument will be administered campus-wide during specified semesters as described above. Separate departmental evaluation instruments, if approved by the department as previously described, may be administered during these same semesters if so desired by the department. The faculty member may choose to use the nationally normed instrument and/or the specific department assessment form(s) for evidence of teaching effectiveness.

Summary

Because standardized rating forms and department assessments may not adequately capture the nuances and variations across disciplines or between types of courses within a discipline, the use of the results of these evaluations

may not be compelled in any kind of personnel decision (such as promotion, tenure, merit pay, termination, etc.) and may only be used if the individual faculty member wishes them to be so used. Individuals and bodies involved in such personnel decisions are expressly directed not to draw any inferences whatsoever about the absence of these results from any faculty applicant's file. Demonstrating one's teaching effectiveness, however, is the responsibility of the individual faculty member and may be achieved in a variety of ways, such as other types of student evaluations, peer evaluations, portfolios, pre-test/post-test or other "value-added" outcomes measures. It is important to reiterate that student evaluations of instruction are just a part of the total assessment of the effectiveness of courses and instructors. Ratings and written comments from students should be viewed as on-going components of the overall longitudinal process of professional growth and improvement. Relying solely on student evaluations to assess the effectiveness of teaching and learning is inappropriate.

Approved by Faculty Senate 3-24-99.

Amended Faculty Senate Bill 98-A-05.

Amended Faculty Senate Bill 99-A-03.

Family Educational Rights and Privacy Act/Buckley Amendment

On November 19, 1974, the Family Educational Rights and Privacy Act (also known as the Buckley Amendment) became federal law. This law gives all parents of students under 18 years of age and all students over 18 or attending post-secondary schools the right to see, correct, and control access to student records. Any school, whether public or private, that receives federal education funds from the Office of Education must adhere to this federal law. For the University faculty member, this law has significance in the type of computer and written records and reports kept and the use to which they are put, as well as to the reporting of grades. For the purpose of compliance with the Buckley Amendment, the University shall presume that all students are independent of their parents. Therefore, student record information may not be disclosed to parents or spouses without the written permission of the student or evidence of the student's dependency.

Points of Interest from the Buckley Amendment

The faculty member should be aware of the following areas affected by the Buckley Amendment:

1. What kinds of records are covered? The Buckley Amendment covers all records, files, documents and other materials which contain information directly relating to a student and which are maintained by an educational agency such as a University. The location or format of the record does not matter. Discipline folders, health files, grade reports, and other records found in a cumulative folder or computer file are all covered. Schools are required to provide a list of all the records maintained on students.
2. Under what circumstances is it all right to post grades? Grades may be publicly posted only if the student is not identified in any way. Posting of names, initials, social security numbers, or student identification numbers is not allowed. A faculty member can assign a code or number known only to the student and post the grades by these numbers. The numbers must be listed in a manner that assures that the students' numbers do not appear in the list in the positions that coincides with their places in an alphabetical listing of the students enrolled in the class.
3. Are there any student records that a school can refuse to show a student? Yes, the following:
 - a. A teacher's or counselor's "personal notes" (these are notes that a school official makes for his or her own use and are not to be shown to anyone else, except a substitute);
 - b. Records of school security police if they are kept separate from the rest of the school's files, if the security agents do not have access to any other school files, and if they are used for law enforcement purposes only within the local area;
 - c. Personnel records of school employees;
 - d. Psychiatric or "treatment" records (but students can let a doctor of their own choice look at them);
 - e. Financial records of parents.

Note: School officials cannot refuse to show students a record simply because it was sent to them by someone outside the school system.

4. Must the school show the record to students immediately upon request? No. Under the Buckley Amendment, the school has 45 days to grant the request.
5. Can the school destroy records after the student has requested to see them? Such action is a violation of the Buckley Amendment. However, schools may remove or destroy records prior to a request.
6. What if the student does not understand the records? An explanation must be provided by the school of the meaning or intent of statements made in the records.
7. May students obtain copies of school records? Under the Buckley Amendment, they may obtain a copy:
 - a. When records are transferred to another school, and
 - b. When information is released to third parties.

In addition, if receiving copies is the only practical way access can be obtained (e.g., the parents live in California, and the records are in New York), the school will have to make copies. Local school regulations will govern requests for copies in other situations and will also establish the amount that can be charged for each copy.

Remember: Students have the right to see the records and take notes from them even if the school refuses to copy the papers for them.

8. If students think information is misleading or false, how can they get it removed? First, the student may ask the school to remove it and explain why. If the school official agrees, then the matter is closed. If the school official disagrees, then a hearing can be requested by the student. A hearing is a meeting between the student and school officials that is presided over by an impartial individual (known as a hearing officer) or committee. The hearing's purpose is to let each side present the evidence in dispute within the school record and to let the hearing officer decide who is right.

What information may be disclosed without prior written consent? Directory information may be disclosed without prior written consent if a confidential flag does not appear in the Student Information System (screen 07). The University defines directory information as student's name; local and permanent address and phone number; date and place of birth; whether student is currently enrolled; dates of attendance; major field of study; anticipated date of graduation; degree(s) earned, if any, date, major, and honors received; participation in officially recognized activities and sports; weight and height of mem-

bers of athletic teams; and most recent previous educational institution attended.

Students may request restriction of release of directory information by completing a request available in the Office of Student Development.

9. What information requires the student's written permission for release? The student's written permission is required for release of non-directory information. Examples of non-directory information include parent name, address and phone number; class schedule; class attendance; grades; withdrawals, suspensions; and student social security number (student number). If you have a question concerning release of student information, contact the University Registrar. (Note: In addition to the University's liability for knowingly violating the Buckley Amendment, individuals are also held personally liable for knowingly violating this legislation.)
10. Who may see a student's records without consent?
 - a. School officials in the same university with a "legitimate educational interest," meaning that she/he must require the student's education records in the course of performing his/her instructional, supervisory, advisory, and administrative duties of the University;
 - b. School officials in the University to which the student intends to transfer (but only after the student has had a chance to challenge the contents);
 - c. Various state and national education agencies when enforcing federal laws;
 - d. Anyone to whom the school must report information as required by state statute (the state statute must have been in effect prior to November 19, 1974);
 - e. Accreditation and research organizations helping the school;
 - f. Student financial aid officials; and
 - g. Those with court orders.
11. May police, probation officers, or employers see student records without consent? No. Under federal law, police, probation officers, and employers cannot see or receive information from student records without obtaining the student's consent. If, however, the state has a statute that was in effect before November 19, 1974, requiring schools to give these individuals such data, then the school has the discretion to do so.

12. May the school ask students to sign a blanket consent form at the beginning of the school year so they do not have to request each release of a record or its information? No. The school must contact the student each time someone requests to see any records.
13. What must the school tell a student who is asked for consent to release records? The student must be told what records have been requested, why the request has been made, and who will receive the records.
14. Where can I find more information on the Buckley Amendment? The University officer charged with ensuring compliance with the Buckley Amendment is the Assistant Vice President for Student Development who can provide more information if needed.

Guidelines for Classroom Copying; Photocopying Copyrighted Material for Teaching

PHOTOCOPYING COPYRIGHTED MATERIALS FOR TEACHING AND RESEARCH

A.BACKGROUND

The Copyright Act of 1976 (P.L. 94-553) precludes copying materials to avoid payment to authors and publishers for the use of copyrighted materials. Copyrighted works may be reproduced for classroom use and for research without securing permission and without paying royalties when the circumstances amount to what the law calls "fair use." In 1976, educators along with publishers developed a set of minimum standards of fair use which were set forth in the "Agreement on Guidelines for Classroom Copying in Not-For-Profit Educational Institutions" (Addendum #1). These standards can be used as a practical approach to determine fair use. Any copying that falls within these guidelines is considered to be fair use and permissible.

B.GENERAL GUIDELINES

- 1.The "1976 Agreement on Guidelines for Classroom Copying in Not-for-Profit Educational Institutions with Respect to Books and Periodicals" provides guidelines which are to be used to determine whether or not the prior permission of the copyright owner is to be obtained prior to photocopying the material.
- 2.The responsibility for determining whether copyrighted material can be copied will reside with the individual faculty or staff member. In making this determination, individuals should carefully consider all sections of the guidelines contained in Addendum #1.

C.PROCEDURES FOR DEPARTMENTAL, COPY CENTER, AND PRINTING SERVICE COPYIN

1.DEPARTMENTAL COPYING

- a.When copying copyrighted material on department/office copiers, faculty and staff should consult the guidelines contained in Addendum #1 to determine if the material they are going to copy requires permission from the copyright owner.
- b.Any material reproduced from a copyrighted source must include a notice of copyright at the beginning of the article.
- c.Departments shall prominently post near their copying machines a notice of the existence and source of availability of the University's policy statement concerning reproducing copyrighted materials (Addendum #2).

2.COPY CENTER AND PRINTING SERVICE COPYING

- a.A copy verification form (Addendum #3) must be completed and submitted with requests for reproduction of copyrighted materials.
- b.A notice of copyright must be included at the beginning of the article to be copied.
- c.Printing and Duplicating and the Copy Centers shall prominently post a notice of the existence and source of availability of the University's policy statement concerning reproducing copyrighted materials (Addendum #2).

D.PROCEDURES FOR COPYRIGHTED MATERIALS THAT ARE REPRODUCED AND SOLD TO STUDENTS

Printed or copied course material which contains copyrighted materials must be sold to students only through the University bookstore (Southeast Bookstore). Southeast Bookstore has established procedures for obtaining permission and paying permission fees to copyright holders. Departments preparing course packets for sale to students should contact Southeast Bookstore for specific requirements and procedures.

Approved by Administrative Council 1992

"1976 Agreement on Guidelines for Classroom Copying in Not-for-Profit Educational Institutions with Respect to Books and Periodicals," as adopted by 38 education organizations and the publishing industry

The purpose of the following guidelines is to state the minimum and not the maximum standards of educational fair use under Section 107 of the Copyright Act of 1976. The parties agree that the conditions determining the extent of permissible copying for educational purposes may change in the future, that certain types of copying permitted under these guidelines may not be permissible in the future, and conversely that in the future other types of copying not permitted under these guidelines may be permissible under revised guidelines.

Moreover, the following statement of guidelines is not intended to limit the types of copying permitted under the standards of fair use under judicial decision and which are stated in Section 107 of the act. There may be instances in which copying which does not fall under the guidelines stated below may nonetheless be permitted under the criteria of fair use.

Guidelines

Single Copying for Teachers

A single copy may be made of any of the following by or for a teacher at his or her individual request for his or her scholarly research or use in teaching or preparation to teach a class:

1. A chapter from a book;
2. An article from a periodical or newspaper;
3. A short story, short essay or short poem, whether or not from a collective work;
4. A chart, graph, diagram, drawing, cartoon or picture from a book, periodical or newspaper.

Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the teacher conducting the course for classroom use or discussion provided that

1. The copying meets the tests of brevity and spontaneity as defined below;
2. The copying meets the cumulative effect test as defined below; and,
3. Each copy includes a notice of copyright.

Definitions

Brevity

1. Poetry: (a) A complete poem if less than 250 words and if printed on not more than two pages or (b) from a longer poem, an excerpt of not more than 250 words.
2. Prose: (a) Either a complete article, story, or essay of less than 2,500 words or (b) an excerpt from any prose work of not more than 1,000 words or 10 percent of the work, whichever is less, but in any event a minimum of 500 words.
(Each of the numerical limits stated in 1 and 2 above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.)
3. Illustration: One chart, graph, diagram, drawing, cartoon, or picture per book or per periodical issue.
4. "Special" Works: Certain works in poetry, prose, or in "poetic prose" which often combine language with illustrations and which are intended sometimes for children and at other times for a more general audience which fall short of 2,500 words in their entirety. Paragraph 2 above notwithstanding, such "special

works" may not be reproduced in their entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10 percent of the words found in the text thereof may be reproduced.

Spontaneity

- 1.The copying is at the instance and inspiration of the individual teacher, and
- 2.The inspiration and decision to use the work and the moments of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

Cumulative Effect

- 1.The copying of the material is for only one course in the school in which the copies are made.
- 2.Not more than one short poem, article, story, essay, or two excerpts may be copies from the same author, nor more than three from the same collective work or periodical volume during one class term.
- 3.There shall not be more than nine instances of such multiple copying for one course during one class term.

(The limitations stated in 2 and 3 above shall not apply to current news periodicals and newspapers and current news sections of other periodicals.)

Prohibitions as to Single Copying for Teachers and Multiple Copies for Classroom Use

Notwithstanding any of the above, the following shall be prohibited:

- 1.Copying shall not be used to create or to replace or substitute for anthologies, compilations, or collective works. Such replacement or substitution may occur whether copies of various works or excerpts therefrom are accumulated or produced and used separately.
- 2.There shall be no copying of or from works intended to be "consumable" in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets, and like consumable material.

3. Copying shall not
 - a. Substitute for the purchase of books, publishers' reprints, or periodicals;
 - b. Be directed by higher authority;
 - c. Be repeated with respect to the same item by the same teacher from term to term.
4. No charge shall be made to the student beyond the actual cost of the photocopying.

Approved by Faculty Senate, Bill 88-A-11 - November 9, 1988

Approved by Board of Regents - December 1988

Revised 1992

Textbook Policies

The objective of the Southeast Bookstore/Textbook Rental Department is to support the educational mission of the University by providing textbooks to the undergraduate students through a cost effective rental system.

The University policy regarding the rental system is that textbooks shall be adopted for a period of two calendar years with a limit of one book per course and with all sections of a course using the same text.

A variance of the limit of one book per course is automatically granted for:

- a. Five hour Courses
- b. Volume I and Volume II books
- c. Interdisciplinary Courses

Requests for exceptions from the stated policy shall be decided at the department or School of University Studies level and should be based on academic needs and sound financial principles. The bookstore manager will be available for consultation with the department chairperson when necessary.

In order to protect the financial soundness of Textbook Rental, adoptions will be processed in the following order: first, all requests in compliance with the stated policy, and second, all requests for exceptions to the stated policy in the

order in which they were received by Textbook Rental until the limit of budget for new acquisitions is reached.

A report will be compiled and distributed each semester, stating the number of variations granted by each department. The reports will be distributed to the Administrative Council and the department chairpersons.

Revised, July 1992

Updated August 15, 1997

Guidelines for the Establishment and Operation of Academic Internship Programs

The academic internship is a viable extension of the formal academic setting that affords students an opportunity to gain valuable professional experiences and to ensure that these are interfaced with the learning objectives in the student's major area of study. As a learning alternative, the internship provides career-related experiences that build upon and extend the more formal student experiences on campus.

This joint educational venture requires close cooperation between the various campus constituencies involved in the program and the agencies, organizations, or businesses associated with the program. Colleges and departments have specific responsibilities in terms of ensuring quality, academic standards, and consistency of operation. Faculty members assume various roles of supervising students, maintaining relations with professional supervisors, and ensuring effective administration of the program. Students assume responsibility for achieving the appropriate learning outcomes while working under the close supervision of the faculty member and one or more recognized professionals in the work setting.

Basic Definition

An academic internship affords the student a unique opportunity to combine formal learning experiences with the professional work setting. Internships are planned experiences that are approved prior to enrollment for credit. Internship programs may be established for between three and fifteen semes-

ter hours of credit. As a normal guide, it is expected that for three hours of credit, the student would be employed in a supervised learning experience for at least 120 hours spread over the academic session. While the number of hours provides the basis for a set time frame, the emphasis throughout the internship is on the quality of the planned learning experiences.

To ensure that the internship is a meaningful learning experience requires clarity in process, consistency in standards, and shared responsibilities among various constituencies. To assist in this process, the following guidelines are utilized.

1.College Responsibilities

- a.The internship program should be implemented and maintained in a manner consistent with the guidelines outlined in this document.
- b.Regular curricular processes should be followed for the establishment and review of internship programs.
- c.Assurances should be made that the internship program is a natural extension of the desired learning outcomes appropriate to the major.
- d.Assurances should be made that the internship program is properly administered and that appropriate understandings have been developed with the cooperating business or organization.
- e.Assurances should be made that affiliated site sponsors follow practices consistent with institutional equal opportunity/Dean of the Graduate School guidelines.

2.Department Responsibilities

- a.The internship programs should be a regular part of the instructional program for majors in the department.
- b.The procedure for initiating an internship program should be the same as that for adding a course to the regular curriculum.
- c.The matters of scheduling supervision, academic credit, evaluation, instructor work load, prerequisites, eligibility, etc., should be resolved at the department and college levels through the same procedures provided for other courses.

- d. The department chairperson involved in the internship programs should exercise special care to ensure that instructor work loads be adjusted appropriately.
- e. Departments should review and scrutinize their internship programs regularly and carefully to ensure that quality is maintained and that recognized goals of the department are being met.
- f. In instances where federal funds are available for internship programs, the departments should avail themselves of the advice and assistance of the University officer who is knowledgeable about federal procedures to be followed in applying for such funding.
- g. The department should ascertain whether each proposed field supervisor is a recognized professional in the subject area of the internship program.

3. Faculty Member Responsibilities

- a. The faculty member is responsible for coordinating contacts with the field supervisors with whom the internship is to take place, for arranging the work program in consultation with the field supervisor, and for maintaining this contact with each field supervisor until the student has successfully completed the experience.
- b. The faculty member responsible for the internship program should provide an appropriate course syllabus and seek approval in a manner similar to that provided for regular courses.
- c. The faculty member should supervise the student and work closely with field supervisors.
- d. The faculty member should carefully screen field supervisors and work environment situations.
- e. The faculty member should arrange times and dates of student participation with the field supervisor and should resolve any scheduling problems which the student encounters.
- f. The faculty member should apprise the student of what is expected and assign the student's grade at the end of the semester.
- g. The faculty member should follow up on the student's progress with periodic contacts with the supervisor as well as conferences and reports from the student.

- h. The faculty member should file a schedule of work experiences and activity guidelines with the department.
- i. The faculty member should ensure that the quality of the internship continues from semester to semester.

4. Professional Field Supervisor Responsibilities

- a. The professional field supervisor should assist the faculty member in planning relevant and desirable work experiences for the student participant.
- b. The professional field supervisor should provide guidance to the students in their internship programs.
- c. The professional field supervisor should work closely with the faculty member to make certain the intended learning takes place.
- d. The professional field supervisor should remunerate the student if such has been agreed upon in advance.
- e. The professional field supervisor should record attendance of the student on the internship.
- f. The professional field supervisor should notify the faculty member if any major deviations from the intended program become necessary or desirable.
- g. The professional field supervisor should evaluate the student's participation in the internship program and submit the evaluation to the faculty member.

5. Student Responsibilities

- a. The student is answerable to the field supervisor for on-the-job performance and to the faculty member for academic, course-related matters.
- b. The student should clearly understand the nature of the internship program in terms of credit hours, salary (if any), method of grading, duration of the program, and the number of hours required for the program.
- c. The student is required to attend all scheduled meetings and to complete all assignments and the schedule of activities agreed upon by the faculty member and the professional field supervisor.
- d. The student is expected to provide all transportation, personal equipment, and supplies not provided by the affiliated sponsor.

- e. The student is expected to write and submit follow-up reports, a comprehensive final report, and/or a listing of work experiences to be graded or evaluated by the faculty member.

These guidelines are based upon the recommendations as presented in Faculty Senate Bill 78-A-02 Academic Services, 1982

Research

Office of Research and Grant Development

The Role of Research on Campus

A major goal of the University is to "contribute to the general advancement of knowledge by stimulating research, scholarly activity, and creative endeavor relevant to the academic and public service programs of the University." Such activities are integral aspects of the teaching/learning environment and directly support the major teaching function of the University. Within the context of the goal statements, research, scholarly activity, and creative endeavor emerge as key elements in the progress of Southeast Missouri State University toward mature "University" standing. With respect to teaching, these pursuits augment the capabilities of faculty members and enrich the learning experience of students. They also serve as a means to fulfill personal interests, strengthen individual competence, and continue to maintain a fresh and informed grasp of new instructional methods and the assessment of existing ones. Faculty members who are involved in the ongoing pursuit of knowledge or who are creative artists seem more apt to stimulate intellectual curiosity and exploration in their students. In short, research, scholarly activity, and creative endeavor afford still another avenue for upgrading the quality of education that the University provides.

Updated October 5, 2005

The University values these professional growth activities not only as a means to increase knowledge in an ever-expanding universe of thought but

also as a practical means to benefit society. Such activities may be viewed along a continuum from the most "pure" or theoretical to the more informal which might be found in a classroom setting. Indeed, the classroom often functions as a laboratory where these ideas and activities are inspired and launched, ultimately to the good of society. Embryonic research and scholarly and creative activity compiled in the University can provide impetus, therefore, for more ambitious research activities relevant to the needs of society that extend beyond the University.

Several factors influence the shape and course of such activities within a University. In some instances, for example, personal challenge, the quest for knowledge, or scientific curiosity may stimulate an individual faculty member. Often, financial support for the project must then be secured from the University, government, or private sources. In other instances, funding opportunities anticipate and/or stimulate research activities. When this is true, the goals, guidelines, and practices of these funding sources will frequently dictate the nature of faculty research and scholarly and creative activity.

Although forces outside the University may influence these activities, faculty attitudes, department priorities, and the general posture of the University also shape their nature. The University seeks to foster an academic climate supportive of quality research that will satisfy individual and University goals while operating within the context of broader societal needs. Encouraging such research endeavors does not lessen the University's commitment to its other functions, but rather enhances and strengthens all institutional activities.

Support from faculty colleagues, department chairpersons, deans, and other administrators provides a sound base for research and scholarly and creative activities at Southeast Missouri State University. In addition to outside sources, faculty members have access to department, college, and divisional funds as they may become available for the express purpose of fostering research among the faculty.

Role of the Office of Research and Grant Development

The Office of Research and Grant Development is an academic service dedicated to enriching the professional development of faculty and equivalent-level staff by providing those individuals with opportunities for research and/or public service. In turn, those activities augment the instructional processes of the University.

By monitoring the current research and development interests of public agencies, private philanthropic organizations, and business, the office provides faculty with an important repository of information which can aid them in their efforts to keep abreast of new trends in virtually any field of study.

The office provides faculty with a central location from which they can seek colleagues from around the campus and the state whose specialized knowledge or talent is needed for a complex research study. Research and Grant Development will assist faculty when they seek to identify and contact professional associations. The knowledge and skills of the office director also serve as a valuable asset.

The office provides three types of services: technical assistance, information management, and skill/knowledge development. Technical assistance is given in the proposal preparation phase, the proposal submission phase, and the project administration phase. Information management includes searching for or identifying potential fundors, monitoring external events, and communicating that information to the University community. The development of skills and knowledge related to the process of grantsmanship takes place in one-on-one sessions with interested parties, formal events such as workshops, and linkage with individuals whose talents, pooled with the proposal's author(s), might enhance the proposal's chances of acceptance.

The Office of Research and Grant Development Procedures and Guidance manual can be viewed at: <http://www.semo.edu/grants/manual.htm>.

Updated August 15, 1997

Updated October 5, 2005

Updated by Change Form May 28, 2008

Research Funds

The Grants and Research Funding Committee of the Faculty Senate was organized to encourage faculty involvement in research, scholarship, and creative projects. Proposals within the following categories are considered for funding by the committee:

1. Research or objective inquiry into fields of human interest which expand one's knowledge of himself/herself, his/her institutions, or his/her physical world by any recognized research method;
2. Creative projects or imaginative work in any acknowledged area of aesthetic expression, such as the visual arts, music, or literature;
3. Research programs which promote further professional development.

Revised by Bill 06-A-09, President approved 1/9/2007

The following are eligible to submit proposals for funding consideration:

1. All members of the University faculty with the exception of those whose resignations or terminations will have taken effect after the proposed receipt or expenditure of allocated funds;
2. Prospective new faculty members contingent upon their appointment to the faculty;
3. Staff members at professional levels comparable to academic faculty;
4. Emeritus faculty.

Detailed guidelines and application procedures for these faculty development grants are periodically revised and published in a separate booklet by the Grants and Research Funding Committee.

Graduate Faculty Research

In recognition of the special responsibilities for active scholarship among the graduate faculty, a small fund has been established to support scholarship

and creative activities. The intent of the fund is to provide small grants which can be used to purchase materials or provide research and/or clerical assistance, etc. The following guidelines are used in applying for funds:

1. Priority is given to faculty who have been significantly involved with student research through the sponsorship of graduate papers and theses.
2. A brief request including a description of the research to be conducted, funding level requested, and an indication of the number of graduate papers, theses, M.B.A. research papers or specialist field study reports sponsored in the prior year is prepared.
3. The request along with the endorsement of the department chairperson and college dean is forwarded to the Dean of the Graduate School.
4. At the conclusion of the project, a brief summary report is submitted to the Dean of the Graduate School with copies to the department chairperson and college dean.

Academic Affairs, 1993

Patents and Copyrights Policy

The purpose of this policy is to protect the rights and benefits of Southeast Missouri State University, the people of Missouri, and the inventor, discoverer, or author in matters pertaining to patents and copyrights. Within this purpose it should be recognized that the objectives of the University do not encompass the invention or development of a product or process for commercial use. Patentable inventions, processes, etc., will instead be a by-product of the usual intellectual endeavors of the faculty and staff of the University.

Any invention or discovery made by an employee of the University or resulting from research carried on under the direction of an employee in which the University may have an interest shall be promptly reported by such discoverer to the Grants and Research Funding Committee. The committee shall review related data and information and make recommendations concerning financial terms and problems concerned with the development and administration of such inventions and discoveries and patents secured thereon. The committee shall make recommendations to the President con-

cerning the disposition and terms of administration of such inventions and discoveries.

Faculty Senate Bill 83-A-04 begins here.

Except in cases where other arrangements have been specifically agreed to in writing, it shall be the policy of Southeast Missouri State University to permit University employees and students to retain in full all copyright and patent privileges resulting from their usual intellectual endeavors. In cases where University support or sponsorship has been provided, the recovery of institutional costs shall:

1. Begin only when residual profits have been accrued as a result of individual or group ownership of copyrights or patents.
2. Be limited to fifty percent of the residual profits accrued as a result of individual or group ownership of copyrights or patents.
3. Continue until all institutional costs have been recovered or until additional residual profits have not been accrued for a period equal to two years after the last instance in which residual profits were accrued, whichever comes first.

Residual profits shall be defined herein as total profits generated by a copyrighted or patented product or process minus all costs borne by the individual or group owning those products' or processes' copyright or patent privileges.

In all cases where University support or sponsorship has not been provided, the cost of administering or procuring copyright or patent privileges will not be borne by the University unless agreed to in writing by the Board of Regents. University support or sponsorship will be defined herein as:

1. Direct assignment by the University of an individual or group to conduct a specific intellectual endeavor whose only aim is the meeting of the objectives of the University and not the production, improvement, or discovery of a copyrightable or patentable product or process.
2. Financial Aid in the form of grants, scholarships, awards, or purchased materials or supplies from University funds provided by the state of Missouri.

In all cases where University support or sponsorship has been provided and institutional costs have been recovered, all monies resulting from the recovery of

institutional costs shall be returned to the funding unit of the University from which support or sponsorship was provided.

Southeast Missouri State University and its Board of Regents disclaim and expressly deny any liability or responsibility for patent infringement or negligence on the part of any person or entity who may elect to obtain a patent or copyright under the provisions of this policy.

Approved by Faculty Senate, Bill 83-A-04 - April, 1983

Approved by Board of Regents - May, 1983

Research Corporation

Through its membership in AASCU, the University is able to use the services of the Research Corporation to assist faculty in obtaining a patent. The Research Corporation will evaluate the patent potential of an invention based on receipt of a Disclosure Submission and Invention Administration Agreement. Neither the faculty member nor the institution bears any direct cost for the evaluation, nor if the invention is accepted, for the cost of filing. The Research Corporation will assume responsibility for marketing the product. Gross receipts are shared with the faculty member (subject to the University Patent Policy) receiving 57.5% of the gross income. Specific details may be obtained from the Office of Research and Grants.

Faculty Senate Bill 88-A-11 begins here.

Exclusive Rights in Copyrighted Works

Subject to (other provisions of the law). . . , the owner of copyright under this title has the exclusive rights to do and to authorize any of the following:

- 1.To reproduce the copyrighted work in copies or phonorecords;
- 2.To prepare derivative works based upon the copyrighted work;
- 3.To distribute copies or phonorecords of the copyrighted work to the public by sale or other transfer of ownership, or by rental, lease, or lending;

4. In the case of literary, musical, dramatic, and choreographic works, pantomimes, and motion pictures and other audiovisual works, to perform the copyrighted work publicly; and
5. In the case of literary, musical, dramatic, and choreographic works, pantomimes and pictorial, graphic, or sculptural works, including the individual images of a motion picture or other audiovisual work, to display the copyrighted work publicly.

Limitations on Exclusive Rights: Fair Use

Notwithstanding the provisions of (the previous section). . . , the fair use of a copyrighted work, including such use by reproduction in copies of phonorecords or by any other means specified by that section, for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research is not an infringement of copyright.

In determining whether the use made of a work in any particular case is a fair use, the factors to be considered shall include

1. The purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
2. The nature of the copyrighted work;
3. The amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. The effect of the use upon the potential market for or value of the copyrighted work.

Approved by Faculty Senate, Bill 88-A-11 - November 9, 1988

Approved by Board of Regents - December 1988

PHOTOCOPYING COPYRIGHTED MATERIALS FOR RESEARCH

Please refer to section on PHOTOCOPYING COPYRIGHTED MATERIALS FOR TEACHING AND RESEARCH

Faculty Senate Bill 90-A-05 begins here.

Policy on Scientific Misconduct

Preamble

Science rests on a foundation of mutual trust. To an extraordinary degree, that trust is thoroughly justified. However, scientists are subject to all human frailties and temptations, including at times the temptation to engage in scientific misconduct. Though such misconduct is rare, once misconduct is detected, it must be dealt with quickly and forcefully in order to sustain the atmosphere of trust necessary for science. Not only must individual scientists behave in a trustworthy manner, scientists must also take collective responsibility for detecting, judging, and controlling scientific misconduct. This is not an easy task for an enterprise founded on integrity; trust must not be replaced with suspiciousness. However, when there is ample reason to suspect misconduct, that information should be brought to the attention of individuals responsible for assuring that scientists connected with their institution are behaving responsibly. To that end, Southeast Missouri State University has established a policy on scientific misconduct, has designated an officer responsible for receiving allegations of scientific misconduct, and has created a process for resolving such allegations.

A crucial element of any fair and effective policy on scientific misconduct is a process that will distinguish instances of genuine and serious misconduct from insignificant deviations from acceptable practices. The policy proposed in this document will allow such distinctions to be made in a manner that minimizes disruptiveness and protects the conscientious, honest scientist from false, trivial or mistaken accusations.

Definitions

Misconduct

Misconduct includes fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific

community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

Inquiry

An information-gathering and initial fact-finding to determine whether an allegation of misconduct warrants an investigation.

Investigation

A formal examination and evaluation of all relevant facts to determine if an instance of misconduct has taken place. If misconduct is confirmed, the investigation should determine the seriousness of the offense and the extent of any adverse effects resulting from the misconduct.

Guiding Principles of This Policy

1. To maximize confidentiality for the respondent (the person accused of misconduct) during the full process and for the complainant (the person alleging misconduct).
2. To assure the respondent a fair hearing.
3. To minimize the number of individuals involved in the inquiry and investigative stages.
4. To follow and be consistent with the spirit of the guidelines published by the National Institutes of Health.

Process for Handling Allegations of Scientific Misconduct

This policy shall apply to faculty, administrative and professional staff, and graduate students. The University process for handling allegations of scientific misconduct involves three stages: inquiry, investigation, and resolution. All parties involved in the process shall be entitled to consultation with legal counsel (at his/her own expense) in all meetings relating to the alleged misconduct.

Initiation of an Inquiry

Southeast Missouri State University has a responsibility to pursue an allegation of scientific misconduct fully and to resolve questions regarding the integrity of research. In the inquiry and any investigation which may follow, the University will attempt to focus on the substance of the issues and be vigilant so that personal conflicts between colleagues do not obscure the facts.

In order to address all allegations of scientific misconduct expeditiously, Southeast Missouri State University designates the Dean of the Graduate School as the administrator to whom allegations are to be reported. If he/she has a conflict of interests with a case, the allegation will be pursued by the Provost in accordance with the procedures described in this policy document.

The Dean of the Graduate School will pursue all allegations to resolution. He/she will consult in confidence with any individual who comes forward with an allegation of scientific misconduct. If the Dean of the Graduate School determines that the concern should be addressed through this policy, the subsequent inquiry and investigation procedures will be discussed with the complainant. If the complainant chooses not to make a formal allegation but the Dean of the Graduate School believes there is sufficient cause to warrant an inquiry, the matter will be pursued. In such a case, there is no complainant for the purposes of this document.

Even if the respondent leaves the institution before the case is resolved, Southeast Missouri State University has a responsibility to continue the examination of the allegations and reach a conclusion. Further, Southeast Missouri State University will cooperate with the processes of other involved institutions to resolve such questions.

Inquiry

Purpose

Whenever an allegation of misconduct is filed, the Dean of the Graduate School will initiate an inquiry--the first step of the review process. In the inquiry stage, factual information is gathered and expeditiously reviewed to determine if

an investigation of the charge is warranted. An inquiry is not a formal hearing; it is designed to separate allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken allegations.

Structure

The inquiry process may be handled with or without a formal committee. Regardless of the approach chosen, it is the responsibility of the Dean of the Graduate School to ensure that the inquiry is conducted in a fair and just manner. The Dean of the Graduate School shall informally review any allegation of misconduct and confer on the merit of the allegation and need to form an inquiry committee with a dean of one of the colleges not represented by the complainant or respondent. The Dean of the Graduate School will determine whether the allegation should be addressed through this policy. If individuals are chosen to assist in the inquiry process, they should have no real or apparent conflicts of interests with the case in question, be unbiased, and have an appropriate background for judging the issues being raised. If the alleged scientific misconduct is a failure to comply with regulations regarding the use of human subjects or laboratory animals in research, members of the inquiry committee may be selected by the Dean of the Graduate School from the appropriate University compliance committee(s) for human and/or animal subjects.

Process

Upon initiation of an inquiry, the Dean of the Graduate School will notify the respondent in writing within a reasonable period of time of the charges and the process that will follow. If the committee method is to be used, the committee members will be appointed and convened.

Whether a case can be reviewed effectively without the involvement of the complainant depends upon the nature of the allegation and the evidence available. Cases that depend specifically upon the observations or statements of the complainant cannot proceed without the open involvement of the individual; other cases that can rely on documentary evidence may permit the complainant to remain anonymous. During the inquiry, confidentiality is essential in order to protect the rights of all parties involved.

The respondent will be given copies of written documents (if any) that support the allegations. To ensure the safety of any written documents associated

with the allegation, committee members will be asked to review a copy of such documents within the office of the Dean of the Graduate School.

When the inquiry is initiated, the respondent will be reminded of the obligation to cooperate in providing the material necessary to conduct the inquiry. Uncooperative behavior may result in immediate implementation of a formal investigation and other appropriate institutional sanctions. The respondent will be invited to present a written response to the allegations, and this response will become a part of the case file maintained by the Office of the Dean of the Graduate School.

Due to the sensitive nature of an alleged case of scientific misconduct, the University will strive to resolve each case expeditiously. The inquiry phase will normally be completed and a written report of the findings filed for the institution's own record within thirty days of written notification to the respondent. A thirty-day period meets the federal regulatory requirements. If the committee anticipates that the established deadline cannot be met, a report, citing the reasons for the delay and progress to date, will be filed with the Dean of the Graduate School, and the respondent and appropriately involved individuals will be informed by the thirty-fourth day.

Findings of the Inquiry

The completion of an inquiry is marked by a determination of whether or not an investigation is warranted. There will be written documentation to summarize the process and conclusion of the inquiry. The complainant and respondent will be informed by the Dean of the Graduate School of the outcome of the inquiry. Allegations found to require investigation will be forwarded to the investigative body discussed below. At this point, any agency sponsoring the research will be notified of a pending investigation.

If an allegation is found to be unjustified but has been submitted in good faith, no further formal action other than informing all involved parties will be taken. The proceedings of the inquiry, including the identity of the respondent, will be held in strict confidence to protect the parties involved. If confidentiality is breached, the University will take reasonable steps to minimize the damage to reputations that may result from inaccurate reports. If an allegation is found to be unjustified and to have been maliciously motivated, disciplinary actions will be taken against anyone under University jurisdiction so involved.

Southeast Missouri State University will seek to protect the complainant against retaliation. Less senior people are particularly vulnerable. Individuals under the University's jurisdiction found engaging in acts of retaliation will be disciplined in accordance with appropriate institutional policies.

Investigation

Purpose

An investigation will be initiated only after an inquiry issues a finding that an investigation is warranted. The investigation's purpose is to explore further the allegations and determine whether there has been scientific misconduct. In the course of an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the initial allegations. The respondent will be informed in writing when significant new directions of investigation are undertaken. The investigation will focus on accusations of misconduct as defined previously and examine the factual materials of each case. The investigation will look carefully at the substance of the charges and examine all relevant evidence.

Structure

The investigating body will be a five-person ad hoc committee appointed by the Dean of the Graduate School to handle the investigation. Members of the investigative committee should be chosen from within the University. Appropriate individuals outside the University may be selected if sufficient qualified members cannot be found from within the institution. Those investigating the allegations will be selected in full awareness of the closeness of their professional or personal affiliation with the complainant or the respondent. Any prospective member who has a conflict of interests in a case will not be permitted to be involved in that case. It is important, however, that the committee members have appropriate research expertise to assure a sound knowledge base from which to work.

Process

Upon receipt of the inquiry finding that an investigation is warranted, the Dean of the Graduate School will initiate the investigation promptly. The com-

plainant and respondent will be notified in writing of the investigation; the written summary of the inquiry stage will be included with this notification. All involved parties are obligated to cooperate with the proceedings in securing additional data related to the case. All necessary information will be provided to the respondent in a timely manner to facilitate the preparation of a response. The respondent will have the opportunity to address the charges and evidence in detail in consultation with legal counsel if he/she wishes.

In the interim, the University will, if necessary, act to protect the health and safety of research subjects, patients, and students. Administrative action could range from complete suspension to slight restrictions in the research activities of the respondent. Interim administrative action will be taken in full awareness of how it might affect other individuals and the ongoing research within the institution.

The written record for the investigative stage will be handled in the same manner as for the inquiry stage, i.e., one copy of the record will be given to the respondent. A second copy, maintained by the Office of the Dean of the Graduate School, will be available for inspection by the committee.

All significant developments during the investigation, as well as the final findings of the committee, will be reported to any sponsor of the research. When the investigation is concluded, all entities initially notified of the investigation will be informed of its final outcome.

The University will attempt to complete an investigation within 120 days. If the deadline cannot be met, an interim report will be submitted by the committee to the Dean of the Graduate School with a request for an extension.

Findings of the Investigation

The findings of the investigative committee will be submitted in writing to the Dean of the Graduate School. The respondent will receive the full report of the investigation.

Appeal/Final Review

In the event of a finding of scientific misconduct, Southeast Missouri State University will provide the respondent with an appeal opportunity. The grounds

should be based either on the failure of the University to follow appropriate procedures or the presence of new evidence.

An appeal based on procedural violations should be made in writing to the Dean of the Graduate School. The appeal should be filed within 30 days of notification to the respondent of the committee's findings and include a list of specific violations. A proper reaction to the appeal should be made in writing by the Provost within two weeks of the filing of the appeal.

An appeal based on new evidence should be made in writing to the Dean of the Graduate School. The appeal should be filed within 30 days of the committee's findings and include a description of the new evidence and its relevancy to the case. A written reaction should be sent to the respondent from the Dean of the Graduate School within two weeks of the filing of the appeal. The decision of the appeal is final. The reaching of such a decision; or the failure of the respondent to submit an appeal within the stated 30 days; is considered to exhaust the appeal process.

Resolution

No Findings of Misconduct

When the investigation finds no support for allegations of scientific misconduct, all federal agencies, sponsors, or other entities initially informed of the investigation will be notified by the Dean of the Graduate School. The findings of the investigation will be sealed and retained in a confidential and secure file within the Office of the Graduate Studies.

If the allegations of misconduct were found to have been maliciously motivated, the appropriate administrative official (e.g., college dean or Provost) will be notified so appropriate disciplinary action can be taken against the responsible University employee. If the allegations, however incorrect, were found to have been made in good faith, no disciplinary measures will be taken, and efforts will be made to prevent retaliatory actions.

Findings of Misconduct

1. Notification - All federal agencies, sponsors, or other entities initially informed of the investigation will be notified of the findings of misconduct once the appeal process has been exhausted.

Consideration will also be given to formal notification of other involved parties after the appeal process has been exhausted. The following list of such parties is illustrative but not complete.

- * Co-authors, co-investigators, collaborators
- * Editors of journals in which fraudulent research was published
- * Sponsoring agencies and funding sources with which the individual has been affiliated
- * Professional societies

2. Disciplinary Action - University disciplinary action will be in proportion to the misconduct. Possible actions could include termination of employment. The Dean of the Graduate School, in consultation with the respondent's college dean, shall recommend appropriate disciplinary action to the Provost.

Approved by Faculty Senate, Bill 90-A-05 - April 4, 1990

Approved by Board of Regents - May 4, 1990

Operational Policy for Research Involving Human Subjects

Southeast Missouri State University recognizes its role in society to further human knowledge, to advance the sum of such knowledge through teaching and research, and to protect the rights and welfare of human subjects involved in research. Similarly, the University acknowledges the rights of the faculty, staff and administrators to utilize appropriate educational methods and research techniques in their classes, in instructionally related activities and in Student Services programming and activities.

Human subjects are involved in many areas of research in which there is potential risk to the individual, such as experimental research utilizing drugs, vaccines, and radioactive materials. Less obvious are classroom or Student Services programming-related research activities in which risks to human subjects may be significant.

The Committee on Research Involving Human Subjects is best qualified to ensure that human subjects will receive adequate protective measures, that faculty, staff and administrative privileges to pursue the advancement of knowledge are guaranteed, and that restrictive policies which might discourage research, innovative teaching and programming are eliminated. This committee is the official review body for the University and functions as the Institutional Review Board as set forth in federal legislation. Its function is to conduct initial and continuing review of those research proposals which use human subjects and to determine that such proposals are in accordance with existing federal regulations. The committee operates under and reports directly to the Office of the Provost.

Members of the committee shall possess varying backgrounds so that their review of research proposals will assure that the rights and welfare of human subjects are adequately safeguarded. The committee must be sufficiently qualified through the expertise and diversity of its membership to ensure respect for its advice and counsel. When necessary, the committee will solicit opinions from individuals having recognized expertise in a specific area. In addition to possessing the professional competence necessary to review specific activities, the committee must be able to ascertain the acceptability of applications and proposals in terms of institutional commitments and regulations, applicable law, and standards of professional conduct and practice.

Decisions concerning human subjects in research are not made unilaterally by the committee. Through a deliberative process, it is the responsibility of the department chairperson, the College Review Committee (CRC), the college dean of the research investigator conducting the study, and the University Committee to ensure that the rights of human subjects are protected. For projects originating from Student Services personnel, the Student Services Review Committee (SSRC) will act as the CRC, and the Dean of Students will assume the review functions delegated to the college dean in this document.

Definitions of Terms

As used in this document, research is defined as a trial or special observation, usually made under conditions determined by the investigator, which aims to test a hypothesis or to discover some unknown principle, effect, or

relationship. Activities which use experiments, tests, and observations designed to elicit non-public information are types of research. Research does not include the conducting of classroom experiments or demonstrations or programming used for an educational purpose. Routine course and program development, including evaluation of the effectiveness of such development and the assessment of established courses or programs, is not research as defined and does not require review. (See next section for details of requirements for or exemptions from review.)

Determining the degree of risk in research involves making a series of judgments because certain risks are inherent in life itself. For certain types of research projects (especially medical), the risk is quite obvious. Somewhat different are those research procedures in which the subjects perform strenuous physical exertion or undergo varying degrees of public embarrassment and humiliation. These experiences may constitute a psychological threat to the subject, thereby posing another type of risk.

In reviewing research proposals involving human subjects, the reviewing body will place the research activity into one of two categories:

Category 1 - those research activities in which the subjects involved have no more than the risks associated with their customary everyday activities or risks associated with the performance of routine physical or psychological examinations or tests by qualified individuals.

Category 2 - those research activities in which the risk to subjects is greater than that encountered when performing customary activities under ordinary conditions.

As used in this document, human subjects are part of the investigator-subject relationship in a research activity which has the discovery of new knowledge as its primary objective. Of course, there are several types of human subjects, including adults, minors, residents of institutions, etc. Donors of organs, tissues, etc., are also considered to be subjects.

As used in this document, the definition of human subjects excludes the normal professional-client relationship which has the welfare of the client as

the sole objective. Examples of such relationships are those in which the client is receiving aid or services consistent with accepted and established practice (e.g., physician and patient).

Procedure for the Review of Research Proposals Involving Human Subjects

During the preparation of the research proposal, the research investigator has the responsibility to seek advice from the department chairperson, college dean, Dean of Students and/or Human Subjects Committee Chairperson regarding potential implications for the rights of human subjects. If human subjects are not involved, the investigator may proceed with the study without consulting the committee.

Any research activity conducted by the faculty, staff, or students involving human subjects will be reviewed by the college dean or Dean of Students, by the CRC or SSRC, by the University Committee, or by both the CRC or SSRC and the University Committee. However, some proposals are exempt from full review.

These include

- 1.Secondary use of existing data documents and pathological or diagnostic specimens if the subjects are not identifiable.
- 2.Use of publicly available data, regardless of whether the subjects are identifiable.
- 3.Non-intervening observations of public behavior. The exemption includes research involving observations of public behavior of children where the investigator(s) does not participate in the activities being observed.

Interviews and surveys of adults (with exceptions noted below).

Interview, survey, and observation of public behavior procedures are not exempt and must be reviewed when

- 1.Responses are recorded in such a manner that the human subjects can be identified, directly or through identifiers linked to the subjects,

AND

2. The subject's responses, if they became known outside the research, could reasonably place the subject at risk, or expose the subject to criminal or civil liability, or be damaging to the subject's financial standing or employability,

OR

3. The research deals with sensitive aspects of the subject's own behavior, such as illegal conduct, drug use, sexual behavior, or use of alcohol,

OR

4. The subjects are minor children. All research using interview and survey procedures that include children as the subjects must be reviewed.

(For educational/classroom study exemption, see Definition of Terms, Research)

Projects involving human subjects but considered exempt from full review by the investigator may be initially submitted to the college dean or Dean of Students and the chairperson of the College or Student Services Review Committee who will act for the College or Student Services Committee. The material submitted will include a brief outline of the project, including survey instruments, interview protocols and/or methods to protect the identity of subjects when secondary data, etc., are used and the rationale for considering the project exempt from full review. If the college dean or Dean of Students and the chairperson of the College or Student Services Review Committee concur that the project is exempt, the Dean or Dean of Students will inform the investigator, and she/he may proceed with the study. At that time, the investigator will submit a copy to the University Committee Chairperson for retrospective review. If either the college dean or Dean of Students or the chairperson of the College or Student Services Review Committee thinks the project is not exempt, the project must be subjected to the normal review process. In the event that the college dean, Dean of Students and/or chairperson of the College or Student Services Committee are among the proposers, the project must be submitted to the entire College or Student Services Committee and to the University Chairperson for retrospective review.

If the project is not exempt from full review, the proposal normally must be submitted to the College or Student Services Review Committee. If funds

external to the University are sought and the granting agency requires approval at the University Committee level, the investigator may submit the research proposal directly to the University Committee for review.

The following materials and information will be submitted by the proposer for research requiring full review:

A brief outline of the project; if applicable, survey instruments, interview protocols, and a description of methods to protect the identity of subjects when secondary data are used; a description of what risks to subjects can be reasonably expected; methods for obtaining informed consent; and methods for ensuring the subjects' rights of privacy and confidentiality of data.

If a designation of Category 1 is expected, the proposer may submit rationale to support risks no greater than customary everyday activities or risks associated with routine physical or psychological examinations and indicate the level of qualifications of investigators to undertake the study. If a designation of Category 2 is expected, the proposer should submit an explanation describing the need for the level of risk, what is being done to minimize risk, and qualifications of the investigators to carry out the research.

Investigators are encouraged to include only information pertinent to the safety of human subjects.

The CRC or SSRC will determine whether the human subjects to be studied in the investigation are in Category 1 or in Category 2 and will verify that procedures for human subject protection will meet University and federal guidelines. The decision of the CRC or SSRC, together with the research proposal, is then sent to the college dean or Dean of Students. When the dean or Dean of Students agrees with the CRC or SSRC that the research involving human subjects is in Category 1 and that the guidelines for protection of human subjects have been met, the dean or Dean of Students will inform the investigator that she/he may proceed with the study, and the dean or Dean of Students will send to the University Committee a copy of the researcher's proposal, together with a report of action taken by the CRC or SSRC and the dean or Dean of Students' statement of approval. In these instances, the University Committee has

the responsibility for a retrospective review. All proposals subject to retrospective review by the University Committee will be examined for appropriate safeguarding of human subjects. If adequate safeguarding is not evident, the University Committee Chair will notify the appropriate dean or Dean of Students and the CRC or SSRC Chair, and the research will cease until agreement among all parties is reached.

When the dean or Dean of Students agrees with the CRC or SSRC that the research involving human subjects is in Category 2 or when the dean or Dean of Students and the CRC or SSRC do not agree on the category, the dean or Dean of Students will inform the investigator that the proposal must be submitted to the University Committee for review. When the category is in question or for proposals submitted directly to the University Committee, the University Committee will decide whether the research is Category 1 or Category 2. Following review of the proposal, recommendations of the committee are sent to the Provost. (See section "Responsibilities of the Committee: Notification of Committee Action" for details.)

Responsibilities of the Principal Investigator

The following statements are presented as guidelines for research projects involving human subjects. The investigator should consult these guides when planning the research project. The committee also will utilize these statements during its evaluation of research proposals submitted by faculty, staff, and students of the University.

The investigator must be qualified in the field in which the research is conducted. If during the research the investigator finds himself/herself in areas beyond his/her level of competency, appropriate consultation must be obtained.

Informed Consent

Research involving human subjects normally is not permitted without the voluntary consent of the human subject or the consent of his/her authorized representative if the subject lacks the capacity to consent. The investigator

should provide the subject with all appropriate information, whether positive or negative, which is likely to influence the subject's decision to participate. No coercion, explicit or implicit, may be used to obtain or maintain cooperation. To assure that the subject's decision is truly free, the investigator must exercise particular care in certain circumstances. Examples include relationships involving a measure of control over the potential subject, e.g., teacher/student, employer/employee, and in institutions such as prisons and hospitals.

Certain research studies utilize subjects (e.g., minors, the mentally retarded, etc.) that require special consideration. Competent adults must give their own informed consent. If the research involves incompetent adults, it is the investigator's responsibility to make certain that consent for participation is obtained from authorized representatives in accordance with applicable statutes and regulations.

Assent must be obtained from competent children. "Children" are individuals below the legal age of consent. Age, maturity, and psychological state are to be considered when determining competency of the child/children. Assent means a child's affirmative agreement to participate in research. Failure to object should not be construed as consent. Informed consent must also be obtained from one of the child's parents or guardians. For research which involves greater than minimal risk and no prospect of direct benefit to the child, both parents must give their permission unless one parent is deceased, unknown, incompetent, or not reasonably available, or when one parent has legal custody of the child. This requirement may be waived for research designed for conditions for a subject population for which parental or guardian consent is not a reasonable requirement to protect the subjects (e.g., abused or neglected children).

When the research involves minimal risk to the subject (Category 1), there is no single method required to assure that the subject consents to participation. Whether the subject's consent is obtained orally or is implicit in voluntary participation in a well-advertised activity or is secured via a written document, it must be "informed consent." The term "informed consent" implies that the individual has exercised free power of choice without the presence of excessive inducement or any element of deceit, fraud, duress, force, or other

form of restraint or coercion. While not mandatory, written documentation is strongly recommended.

A dilemma arises in some research because fully informing the subjects would invalidate the experiment. If it is necessary to withhold information from the subject, the investigator must carefully inform the reviewers of what information will be withheld and must clearly justify the withholding of information. Nondisclosure of information to subjects must not be used simply to assure their participation in the research.

Investigators whose proposed research activity is in Category 2 are obligated to obtain legally effective informed consent. The basic elements of information necessary to such consent include:

1. A fair explanation of the procedures to be followed and their purposes, including identification of any procedures which are experimental;
2. A description of any attendant discomforts and risks reasonably to be expected;
3. A description of any benefits reasonably to be expected;
4. A disclosure of any appropriate alternative procedures that might be advantageous for the subject;
5. An offer to answer any inquiries concerning the procedure;
6. An instruction that the individual is free to withdraw his or her consent and to discontinue participation in the project or activity at any time without prejudice to the subject;

An explanation of appropriate complaint procedures.

A written document is preferred for obtaining the consent of subjects involved in research activity in Category 2. If consent is obtained orally, the investigator must provide some documentation of consent for the records.

However consent is obtained, the method used must be described and justified in the material sent to the committee for review. Such materials might include, for example, a summary of oral explanations to be given to the participants when obtaining their informed consent. Also, to be submitted to the

committee is an explanation of how the investigator plans to monitor the risks and safeguard the subject during the course of the investigation.

Note 1: The method of obtaining consent must not include any exculpatory language through which the subject waives, or appears to waive, any of her/his legal rights, including any release of the University or its agents from liability or negligence. Obtaining a signed consent form is not a release. Rather, it is simply an evidence of disclosure to the subject of essential information necessary to obtain informed consent.

Note 2: Special procedures are required for obtaining and documenting informed consent of subjects placed at risk in activities supported by many external sources of funds.

Treatment of Human Subjects

It is incumbent upon the investigator to make sure that all human subjects are treated with respect and dignity, not just by the principal investigator, but by the research associates as well. The principal investigator should make it clear to the subjects that they are free to discontinue their participation in the research at any time without prejudice to the subject.

In those research projects that have potential risk to the subject, the investigator must make every effort to minimize the risks or discomfort related to the subject's participation. For example, if the research activity exposes the subject to considerable physical risk, the investigator must consider whether the subject's response should be monitored by a physician during the testing.

The investigator whose research plans place subjects at risk has the responsibility for justifying that risk. Such a justification will indicate that a thorough search of the literature has been made to ascertain that either the experiment has already been performed with animal subjects or good reasons exist for not utilizing animal subjects; that similar research has not already provided an adequate answer to the research question; and that the design of the study is adequate to yield worthwhile data on the topic under investigation.

The investigator is responsible for the research procedures during the investigation and must be sensitive to individual differences which may predispose certain individuals to experience harmful psychological or physical consequences by participating in the study. Realizing this, the researcher must exercise care to exclude such individuals from the research sample. Should unanticipated harmful effects develop during the research, the investigator shall take immediate steps to correct the situation. For those studies having the potential to produce undesirable effects which may be manifested later, the investigator's responsibility is to plan appropriate follow-up procedures.

The responsibilities of the investigator include scheduling a debriefing session with the subjects following the conclusion of the research. The methodological procedures associated with the study may have caused certain subjects to experience anxiety, embarrassment, and loss of self-esteem. The experimenter should determine whether the subjects have suffered such effects. If they have, the investigator must take positive steps to counteract the effects the study produced. Debriefing procedures to be used must also be described to reviewers. The reviewers must then decide whether the subject's rights and welfare are adequately protected.

The investigator should make every effort to see that the subjects are rewarded or recognized for their participation. Such benefits could be material (money or gifts), educational (added information or knowledge), some other self-enhancing gains (e.g., improved health and well-being), or the award of a certificate of participation. Any payment intended for the subjects should not be so large as to constitute an excessive inducement to participate. The investigator's description of the research submitted to the committee shall include plans to reward or recognize the subjects.

Confidentiality of Data

It is the investigator's responsibility to protect the rights of subjects against invasions of their privacy. The investigator must exercise care in obtaining and handling sensitive material and has ethical obligations to treat in confidence all private or personal information related to the subjects. The investigator should explain to those subjects providing information of a private or personal nature how such information will be used. Whenever feasible, such

information from subjects should be obtained anonymously. If this is not possible, the data should be coded and the code separated from the data and kept in a secure place. Finally, the investigator should make certain such data are destroyed when the research is concluded.

The investigator must specify in the description of the project submitted to the committee for review her/his plans to ensure the confidentiality of the data and anonymity of the subjects. The following points can serve as a checklist to ensure that adequate protection will be provided:

1. The instruments for procuring data should be carefully constructed to ensure that only personal information absolutely essential to the study is acquired.
2. Personal information checklists which permit identification of the subject should be stored in files accessible only to authorized personnel.
3. Data containing personal information should be changed into coded form as soon as feasible. This means removal of the name and any other information which would reveal the subject's identity.
4. Adequate procedures for the disposal of data must be included in the research plans.
5. The identity of subjects must not be released without their express permission.

Certain research studies utilize data involving identifiable subjects that were collected previously for a different purpose. In such instances, the investigator must (a) re-evaluate the risk to the subjects, (b) determine whether the new use is within the scope of the original consent, and (c) provide for the anonymity of subjects in the intended study.

Complaint Procedures

It is also the responsibility of the principal investigator to advise all subjects, either in writing or orally, of their right to file a complaint with the University Committee. Each subject shall be given the name, address, and telephone number of the appropriate person to contact to register a complaint regarding her/his participation in the research. The participant or her/his legal representative should direct the complaint to the chairperson of the committee, with a copy to the Provost/Provost's representative.

The University Committee has the responsibility for investigating all complaints. After its investigation, the committee will report its findings to the Provost. Normally, these findings will indicate one of the following: (a) that the complaint is invalid, (b) that the complaint is valid and that the principal investigator must submit an amended statement of procedure for consideration by the committee, (c) that the complaint is valid and that committee approval of the research project is withdrawn. In all cases, the Provost notifies both the principal investigator and the complainant (if identified) of the findings of the investigation and of the action to be taken.

Responsibilities of the Committee

Qualifications for Committee Membership

The Committee shall not consist entirely of persons who are officers, employees, or agents of or otherwise associated with the institution apart from their membership on the committee.

No member of the committee shall be involved in either the initial or continuing review of an activity in which he/she has a conflicting interest, except to provide information requested by the committee.

Composition and Selection of the Committee

The committee shall not consist entirely of members of a single professional group. The committee shall not consist entirely of men or entirely of women. The Provost shall appoint thirteen members to the committee as follows:

1. Three members from the professions outside the University, 3
2. One member from each college/and the School of Polytechnic Studies (from two nominees submitted by each college council), 5
3. One at-large representative (from two nominees submitted by the Faculty Senate), 1
4. One representative from the Graduate Faculty, 1
5. One representative of the college deans, 1
6. One representative from Student Services, and 1
7. The Dean of the Graduate School or his/her designee. 1

Members of the committee shall be identified to appropriate agencies by name; earned degrees, if any; position or occupation; representative capacity; and by other pertinent indications of experience, such as board certification, licenses, etc., sufficient to describe each member's chief anticipated contributions to committee deliberations. Any employment or other relationship between each member and the institution shall be identified, i.e., full-time employee, part-time employee, member of governing panel or board, paid consultant, unpaid consultant. Changes in committee membership shall be reported in such form and at such times as may be required by law.

Terms of Committee Members

The Dean of the Graduate School at the University shall be a permanent member of the Committee. The terms of membership for the other twelve initial appointees shall be for one, two, and three years to ensure an orderly rotation of members. Beginning with the second year, four appointments will be made annually, and each of these will be for a three-year term. Members may not exceed two consecutive three-year terms, but may be reappointed following a one-year hiatus.

Quorum Requirements

The quorum of the committee shall be defined as a majority of the total membership. Approval by a majority of the members meeting in quorum shall constitute approval of the proposal.

A research proposal which has received the endorsement of the department chairperson, College Review Committee or Student Services Review Committee, and the dean or Dean of Students requires a majority of the total committee membership for rejection.

Duties of Committee Chairperson

The Provost shall appoint the chairperson of the committee within a reasonable time following the annual appointment of new members to the committee. Duties of the committee chairperson include developing and publicizing an annual schedule of regular committee meetings, and he/she is responsible for the prompt communication of committee findings to appropriate parties. Furthermore, the chairperson is responsible for communicating annually with deans and

the Dean of Students and College and Student Services Research Committees regarding criteria for research involving human subjects.

Notification of Committee Action

Following its initial review of a research proposal, the committee shall report the action taken to the Provost or designee. Recommendations by the committee are subject to further consideration by the Provost and by the President. Normally, the report of committee actions sent to the Provost or his/her designee will (a) recommend approval, or (b) indicate any special requirements to be met and the conditions under which approval would be recommended, or (c) reject the proposal, in which case the reasons for rejection are stated. With concurrence of the Provost, the chairperson of the committee sends a notification of committee restrictions to the principal investigator. Investigators dissatisfied with findings of the committee may appeal to the Provost. A subsequent reconsideration of a research proposal may, at the discretion of the Provost, involve attendance of the principal investigator and/or consultants selected by the committee and by the investigator. Unfavorable recommendations and restrictions cannot be removed except by the committee. Procedural changes in a project can be implemented only after these changes are reviewed and approved by the committee. When reviews are completed and approval granted by the committee, the chairperson completes a certification of review and forwards a copy to the Provost, who agrees or disagrees and informs the principal investigator.

It is the responsibility of the Provost to insist that restrictions and recommendations made by the committee are fully implemented. Any disregard of committee restrictions and recommendations by a principal investigator shall be reported immediately to the Provost, who takes steps for remedial action.

Provision for Modification of Procedures

The operational policy of the Committee on Research Involving Human Subjects shall be subject to a continuing review that will be cognizant of changes in regulations of appropriate agencies. Recommendations for changes also may be initiated by individuals who are not members of the committee. A proposed change and the rationale for the change must first be reviewed at the college or division level before being forwarded to the committee. Proposed changes coming to the committee from the various college councils or the Student Services Division shall be studied to determine whether they are feasible. If a proposed

change seems desirable to the committee, the proposal shall be sent via the Provost to all the college councils and the Student Services Division for their consideration and input. Proposed changes originating in the committee also will be sent via the Provost to the various college councils and the Student Services Division for study.

A proposed change that is supported by the committee and a majority of the college councils (with the vote of the Student Services Division being equal to a college council vote) shall be sent by the committee to the Provost and shall be accompanied by a rationale for change. If the proposed change is unacceptable to the Provost, it shall be returned to the committee for further study. If the change is approved by the Provost, it shall be forwarded to the President for his/her approval. Following approval by the President, a statement of the change shall be disseminated on campus and forwarded to appropriate agencies for their information and/or negotiation. Proposed changes in existing policy shall become effective when they have been approved by the committee and the President and notification of the changes has been sent to appropriate agencies.

Academic Affairs Revised 4/93

Service

Sponsorship of Student Organizations

The University recognizes that a significant part of a student's college education is gained outside the formal classroom. This aspect of a college education includes not only class-related activities, such as study and library research, but the broader dimensions of campus life. Faculty members who serve as sponsors of student groups not only contribute meaningfully to the broader educational aims of the University, but also contribute to the development of sound student-faculty relationships.

Student Recommendations

Many students make use of the services of Career Services in the Student Development Center to secure employment after graduation. Faculty members who agree to write recommendations for students to be included in their placement files should observe the following guidelines:

1. When a faculty member agrees to write a recommendation, the student will naturally assume that it will be favorable. A faculty member should not allow a false impression to be created if the recommendation, in fact, will be unfavorable.
2. Recommendations should be submitted on the form provided by Career Services.
3. Recommendations should be returned directly to Career Services via campus mail. They should not be given to the students.
4. Faculty members should be familiar with the provisions of the Family Educational Rights and Privacy Act of 1974, better known as the Buckley Amendment. Copies are available for review in the Office of Student Services.

Commencement

Commencement exercises are held two times annually--in the winter and spring. Each faculty member is expected to attend one commencement exercise a year, and each department is expected to have approximately one third of its members present for each exercise. Department chairpersons are responsible for scheduling the distribution of faculty among the winter and spring exercises.

Academic Distinction in the Department of Major

PURPOSE: The purpose of this program is to provide opportunity for qualified students to distinguish themselves in their chosen fields of study.

QUALIFICATIONS: The student making application shall at the time of application have a minimum of 75 semester hours of credit, a 3.25 grade point

average in the department of the major, and a 3.0 overall grade point average, as verified by the Office of the Registrar.

PROCESS:

1. The candidate in consultation with the department chairperson shall select a member of the department faculty as advisor. While normally the student may have already consulted with a particular faculty member, this is not a requirement. The advisor shall confirm acceptance in writing. The advisor shall serve as chairperson of the advisory committee and arrange all meetings and guide the student in undertaking a special study.
2. The candidate in cooperation with the distinction project advisor shall delimit a program of study and shall prepare a tentative thesis statement concerning the purpose of the study and the probable plan of procedure.
3. A distinction advisory committee shall be recommended by the student, distinction project advisor, and department chair concerned after consultation with potential committee members. The committee shall have a minimum of five members, the majority of whom shall represent a variety of departments other than the major department of the student. The department chairperson is an ex officio member of the committee, if not a regular member.
4. Recommendations shall be submitted to the dean of the college, who, upon approval, shall request persons nominated to serve. The committee members shall confirm acceptance in writing.
5. The distinction advisory committee shall conduct a qualifying oral examination for purposes of becoming acquainted with the student, examining the student's general educational background and evaluating the proposed study and providing guidelines for its conduct. A three-fourths favorable vote by this committee is required for approval.
6. When the oral exam has been conducted and the project thesis approved, written notification must be provided to the Office of the Registrar. Notification must be accomplished no later than the beginning of the first week of the semester in which the student plans to participate in commencement exercises. Notification of acceptance of the project must coincide with the semester in which the student plans commencement participation, regardless of degree award date.)
7. The distinction advisory committee may be called to extra sessions by the advisor or by the student in the event that additional assistance is needed.

8. The special subject shall be completed in not less than one semester or more than one calendar year from the date of approval by the distinction advisory committee. During this period, except for the summer session, the student must be regularly enrolled in this institution. No study for distinction may be initiated during the student's commencement semester.
9. At least seven weeks prior to his/her commencement, the student shall submit typed copies of the completed special study to all members of the advisory committee, including the department chairperson and the distinction project advisor. Within one week of receipt of the report and not less than six weeks prior to commencement, the committee shall meet in oral examination session to evaluate the project and approve without change, approve with suggested revisions, or reject the study. If revision is necessary, one week shall be allowed for it. Upon approval, the committee shall recommend the student to the dean of the college for graduation with distinction. Whether the project is accepted or rejected, notification must be provided to the Office of the Registrar no less than five weeks prior to commencement.
10. Two copies of the special study shall be presented to the department and one copy to the Collections Librarian at the time of final acceptance by the committee. Copies must be suitable for binding.

RECOGNITION: Upon timely completion of all steps in the above process, recognition shall be given the student as follows:

- a. Academic Distinction in (department name) on diploma, permanent record, and commencement program.
- b. Letter of commendation from the dean of the college.
- c. Publicity in all pertinent publicity releases.
- d. Medallion, indicating academic distinction, to be worn at commencement. Ordered by Office of the Registrar, billed to the department issuing academic distinction. NOTE: The medallion will be awarded only if the distinction project acceptance notification is provided to the Office of the Registrar a minimum of five weeks in advance of the student's commencement exercise.

Students who do not meet established deadlines will not receive the recognitions outlined above.

Honors Program

Philosophy, Purposes, and Goals

By offering educational opportunities tailored to the special needs, aspirations, and motivations of students whose intellectual and creative abilities are outstanding, the Honors Program underscores Southeast Missouri State University's commitment to quality and excellence in matters of knowledge, creativity, and leadership. The goals of the Honors Program reflect this basic commitment. These goals are:

1. To encourage an intellectual orientation by providing a model of academic endeavor which emphasizes analytical thought, insight into the methodologies of different disciplines, and cross-disciplinary synthesis.
2. To address the special needs of outstanding students by providing a center of identity for formulating personal goals, developing self-esteem, and increasing the desire for self-directed learning.
3. To contribute to the general advancement of learning by encouraging the active pursuit of academic goals, as exemplified by research, scholarly activity, and creative endeavor.

Admission Standards

Entering or transfer students are eligible for admission into the Honors Program if they meet one of the following sets of criteria.

- a. A cumulative high school grade point average of at least 3.5 on a 4.0 scale (or its equivalent) and an ACT composite test score of at least 23 (or its equivalent).

OR

- b. A cumulative high school grade point average of at least 3.25 on a 4.0 scale (or its equivalent) and an ACT composite score at the 90th percentile ranking or higher (or its equivalent).

Students who do not meet the standards established in "A" may be admitted to the program by petition if, at the end of at least 12 semester hours of college work, they have earned a cumulative grade point average of 3.25 or above.

Program Completion

1. In order to remain in the program after admission, a student must 1) maintain a minimum grade point average of 3.25 and 2) maintain active involvement in the program. Falling below the required minimum cumulative GPA of 3.25 in any semester will cause the student to be placed on Honors probation. If at the end of the probationary semester the student's cumulative GPA is 3.25 or higher, he/she, will be returned to regular Honors status. If the cumulative GPA is still lower than 3.25 but the semester GPA is 3.25 or higher, the student will remain on Honors probationary status. If the semester GPA for a probationary semester is lower than 3.25, Honors status will be discontinued. A student may apply for readmission to the program if the cumulative GPA is raised to 3.25 or higher.

To maintain active involvement in the Honors Program, the student must meet the following rate of progress toward accumulating the 24 hours of Honors credit needed to complete the program.

Honors hours completed at Southeast Missouri State University	Total hours completed at Southeast Missouri State University
3	30
9	60
18	90

Failure to meet these credit hour minimums will result in the student being placed on Honors probation. If the requisite number of Honors credits are accumulated by the end of the next semester, s/he will be returned to regular Honors status; otherwise, Honors status will be discontinued. A student may petition the Honors Council for an exemption from the criteria for active involvement if he/she was not able to meet those standards due to extenuating circumstances, or if he/she had significant involvement in Honors Program activities other than course work (e.g., serving on the Student Honors Council, presenting a paper at an Honors conference).

2. To complete the Honors Program, a student must:
 - a. Earn a cumulative grade point average of 3.25 or above.
 - b. Earn a minimum of 24 hours of Honors credit, including 6 hours at the 300- and/or 400- levels, of which a minimum of 3 hours must be at the 400-level. Lower-division Honors credit beyond 9 hours in any one department does not count toward the 24 hour requirement. A student may petition the Honors Council for an exemption to this limitation by making a case for why a greater degree of concentration would provide a more effective Honors educational experience for him or her.
 - c. Complete a senior level research project. This project must be approved by a member of the Honors Faculty, who serves as the supervisor of the project, and by the Director of the Honors Program.
3. Students who complete the Honors Program requirements will be recognized as follows:
 - a. They will be designated Honors Scholars.
 - b. They will be identified at both the Honors Convocation and the Commencement ceremony.
 - c. They will receive a certificate noting their completion of the program, and a medallion to be worn at the commencement exercises.
 - d. Notification of completion of the Honors Program requirement will be added to their academic transcript.

Curriculum

Honors Credit. Honors credit may be earned in two ways: (1) by taking specially designated Honors sections of courses in the University curriculum; (2) by contracting for Honors credit in non-Honors sections.

1. **Honors Sections.** Honors sections may be designated for any course in the University curriculum. This arrangement permits the creation of Honors sections in any lower-division course, whether or not it directly serves general education requirements, and in advanced upper-division courses, should sufficient demand arise. However, sections of courses in the University Studies curriculum should predominate. Honors sections will be designed and taught so as to contribute to the goals and objectives of the Honors Program; at the same time,

they will meet the content requirements of their non-Honors counterparts. Credit by Contract. An individual Honors Student may contract with a member of the Honors Faculty to receive Honors credit in any course in the University curriculum. This arrangement permits students to earn Honors credit in courses which cannot support the creation of specially designated Honors sections (for example, independent study and research). The Honors contract will ensure that the student undertakes independent work which satisfies the goals and objectives of the Honors Program; at the same time, it will ensure that the normal content requirements of the course are met. A maximum of 12 hours of Honors credit can be earned by contract. No more than 3 of the 6 hours of Honors credit required at the 300- and 400-levels may be fulfilled by Honors contract. Students may petition the Honors Council for exemptions to these limits based on programmatic restrictions within their majors.

2. General Characteristics of the Honors Course. While meeting the defined objectives of their non-honors counterparts, honors courses are expected to emphasize creative and active learning, analysis and synthesis, and application of background knowledge. Particular attention is paid to student initiative, methodological awareness, depth of investigation, and diversity of learning resources. Student initiative is encouraged. There is less reliance upon drill, lecture, and textbook review, and greater reliance upon independent readings, class discussion, question and answer sessions, collective problems solving, and student conducted research. Methodological awareness is the nature of professional activity in the discipline, historical development of the discipline, and current issues and problems. Depth of investigation is found where material is covered in greater detail, where greater emphasis is placed in implications and underlying principles, and where intellectually more demanding issues and problems are discussed. Diversity of learning resources implies less reliance upon traditional textbook presentation of material, and greater reliance upon a variety of sources, including professional articles and books, books of current and historical interest, elected readings from periodicals, library resources, visiting faculty, and team teaching. Methods of student evaluation are expected to be consistent with the nature and intent of an Honors course as here defined.

The criteria used to evaluate students in Honors sections should be equivalent to the criteria used to evaluate students in non-Honors sections. Honors sections should be distinguished by the qualities described above rather than by the amount of work required or by the difficulty of attaining a given grade.

Course Approval

1. It is not necessary to seek special course approval for Honors sections, since they are, indeed, sections of already approved courses. However, it is the responsibility of the department and college within which the Honors section is offered, and the Director of Honors, to ensure that the course design satisfies the requirements of an Honors course.
2. To earn Honors credit by contract, the student must provide a written description of the work to be done in addition to the regular course work. The proposed Honors work must be approved by the instructor, the appropriate chairperson and dean, and the Director of Honors prior to the last day to add a new course. When the student completes the approved Honors work, the instructor notifies the Director of Honors; the Director of Honors notifies the Registrar; and Honors credit is duly indicated in the student's transcripts.

Honors Faculty

Honors courses are to be taught by members of the honors faculty. Honors faculty must have:

1. A doctorate or the appropriate terminal degree.
2. At least two years university-level teaching experience and a demonstrable record of excellence in teaching.
3. Recommendations from the appropriate chairperson and dean.

Administration

Program oversight is provided by the Director of Honors. The Director of Honors reports to the Dean of the School of University Studies and acts on the advice of the Honors Council. The Honors Council will be composed of one representative from each college/school, an honors student representative, and the Director of the Honors/Governor's Scholars Program. College/school representatives will be selected by their respective college councils. The student representative is elected by honors students. The Director acts as chair of the Honors Council.

Student Services

The Honors Program is expected to provide support services for students. Examples of student support services are orientation sessions, an honors student newsletter, an honors lounge or center, academic advising, and opportunities to attend regional and national honors meetings.

Adopted 5 May 1992

