

**Faculty Senate
Executive Committee**
Wednesday, April 11, 2012
2:00 p.m. – 4:00 p.m. – Adelbert Hall, Room M2

AGENDA

2:00pm	Approval of Minutes from the March 6, 2012 Executive Committee meeting, <i>attachment</i>	G. Chottiner
	Provost's Announcements	B. Baeslack
2:05pm	Chair's Announcements	G. Chottiner
	Consent Agenda: 2012-2013 Standing Committee Chairs <i>attachment</i>	
2:10pm	Updates to Conflict of Interest Policy <i>attachment</i>	D. Singer
2:15pm	Updates to the Grievance Policy <i>attachment</i>	D. Singer
2:20pm	Updates to School of Nursing By-laws <i>attachment</i>	D. Singer
2:30pm	SAGES Governance and Course Evaluations	L. Parker
	Enforcing Deadlines for Declaring a Major <i>attachment</i>	L. Parker
2:35pm	Early Entry Master's <i>attachment</i>	L. Parker M. Snider
2:40pm	Definition of a Credit Hour <i>attachment</i>	L. Parker M. Snider
2:45pm	Graduate Student Leave Policy <i>attachment</i>	M. Snider
2:55pm	MPH/DMD <i>attachment</i>	M. Snider
3:00pm	MPH/MSSA <i>attachment</i>	M. Snider

3:05pm	Certificate in Clinical Research <i>attachment</i>	M. Snider
3:10pm	MSN/PhD in Nursing <i>attachment</i>	M. Snider
3:15pm	ME Program Option <i>attachment</i>	M. Snider
3:20pm	Engineering Masters Education in Wireless Health in San Diego <i>attachment</i>	M. Snider
3:25pm	Electronic Attendance for Senate <i>attachment</i>	R. Dubin
3:30pm	School of Medicine Report	G. Weisner
3:35pm	School of Engineering Report	J. Mansour
3:40pm	School of Nursing Report	C. Hudak
3:45pm	School of Management Report	D. Buchanan
3:50pm	Ex-Comm procedures <i>attachment</i>	G. Chottiner
3:55pm	AAUP letter re: Sexual Harassment and Free Speech Policies <i>attachment</i>	G. Chottiner
4:00pm	Approval of the Faculty Senate Agenda <i>attachment</i>	G. Chottiner



Faculty Senate Executive Committee
Minutes of the April 11, 2012 meeting
Adelbert Hall, Room M2

Committee Members in Attendance

Bud Baeslack	David Crampton	Joseph Mansour
Jessica Berg	Robin Dubin	Alan Rocke
Richard Buchanan	Christine Hudak	Barbara Snyder
Gary Chottiner	Alan Levine	Liz Woyczynski

Committee Members Absent

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Others Present

Larry Parker	David Singer	Martin Snider
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Call to Order and approval of minutes

Professor Gary Chottiner, chair, Faculty Senate, called the meeting to order at 2:00 p.m. The minutes of the March 6, 2012 meeting of the Faculty Senate Executive Committee were approved as submitted.

Provost's Announcements

Provost Bud Baeslack said early reports indicate that enrollment of new undergraduates is likely to be strong for fall 2012. He thanked faculty for meeting with admitted prospective students who are visiting campus before the May 1 enrollment deadline.

Chair's Announcements

Prof. Chottiner, chair, Faculty Senate, reminded the Executive Committee about plans to form an *ad hoc* committee to clarify the Faculty Handbook regarding faculty appointments outside the eight constituent faculties. A document addressing issues for consideration when the *ad hoc* committee is charged in the fall has been shared with the Executive Committee.

He said that the Faculty Senate Budget Committee is meeting with the Faculty Senate By-laws Committee regarding draft updates to the committee's charge and appropriate mention of the new University Budget Committee in the Faculty Handbook.

Consent Agenda

Prof. Chottiner presented the slate of standing committee chairs (including the FSCUE vice-chair) for 2012-2013. There being no objection, the slate of chairs was approved.

Conflict of Interest Policy

Prof. David Singer, chair, Committee on By-laws, presented the revisions to the Conflict of Interest Policy located in Chapter IV of the Faculty Handbook. The revisions were drafted by Ms. Sue Rivera, associate vice president for research, and reviewed by the Outside Interests Committee, chaired by Professor Emeritus Ed Stavnezer. A

majority of the members of the Outside Interests Committee are members of the faculty, and one of these faculty members is appointed by the Executive Committee of the Faculty Senate. The proposed revisions were approved by the Faculty Senate Committee on Research. The majority of edits concern language and reporting times to make the policy compatible with federal regulations. The university must have the draft edits approved no later than July 1. Revisions to the Conflict of Interest Policy require the approval of the president, provost and the Faculty Senate Executive Committee. After some discussion, the Executive Committee decided to review the proposed edits further and vote by email whether or not to approve the proposed revisions. President Snyder and Provost Baeslack would like to seek the subsequent endorsement of the Faculty Senate.

(The Faculty Senate Executive Committee voted by Tuesday, April 17 to approve the proposed revisions to the Conflict of Interest Policy for subsequent endorsement by the Faculty Senate at the April meeting.)

Grievance Process Reform

Prof. Singer, chair, Committee on By-laws, said some additional questions have arisen regarding the proposed revisions to the grievance process outlined in the Faculty Handbook. The Committee on By-laws will meet again shortly to confirm the proposed revisions.

Nursing By-laws

Prof. Singer, chair, Committee on By-laws, presented the proposed revision to the School of Nursing By-laws. The proposed revisions concern a few minor changes to procedures and committee memberships, including the provision that the School of Nursing representative to the Faculty Senate Executive Committee should be an *ex-officio* member of the School of Nursing Executive Committee, as required by Constitution of the University Faculty. The Executive Committee voted to approve the changes.

SAGES Governance and Course Evaluations

Prof. Larry Parker, chair, Committee on Undergraduate Education (FSCUE), said that the Executive Committee of the College of Arts Sciences, which requested additional time to review the SAGES Governance proposal, was expected to discuss the proposal at its April meeting, in time to provide feedback to the FSCUE for its meeting on May 1. A meeting and vote of the Undergraduate Program Faculty (UPF) would likely take place in the fall; a vote of the UPF is advisory to the Faculty Senate.

The school and college representatives on the FSCUE Academic Standing Subcommittee have been asked to solicit feedback from their constituent faculties regarding the Undergraduate Course Evaluation Proposal. The Faculty Senate Personnel Committee would need to review the proposal before it came to the Executive Committee for review.

Enforcing Deadlines for Declaring a Major

Prof. Larry Parker, chair, Committee on Undergraduate Education (FSCUE), presented the proposal drafted and approved by the FSCUE Academic Standing Subcommittee, endorsed by the FSCUE Curriculum Subcommittee and approved by the FSCUE which enforces the deadline for declaring a major. The Executive Committee approved the proposal for announcement to the Faculty Senate. The proposal is attached to these meeting minutes.

Early Entry Master's Program Agreements with Non-U.S. Universities

Prof. Larry Parker, chair, Committee on Undergraduate Education (FSCUE), presented the proposal, which was reviewed and approved by the Committee on Graduate Studies and the FSCUE. The proposal stipulates the required admission criteria and requires a term-by-term plan for the courses to be taken at CWRU to complete

the undergraduate degree at the undergraduate degree granting institution. The Executive Committee approved the proposal for announcement to the Faculty Senate. The proposal is attached to these meeting minutes.

Definition of a Credit Hour

Prof. Larry Parker, chair, Committee on Undergraduate Education (FSCUE), presented the draft of a Definition of a Credit Hour as required by the new program integrity rules issued by the U.S. Department of Education. After some discussion, the Executive Committee approved the Definition of a Credit Hour for announcement to the Faculty Senate. Members of the Executive Committee were invited to consult with their constituents to determine if this definition should be modified in the future to, for example, more easily accommodate programs that define credit hours in terms of overall minutes of instruction rather than weeks and hours per week. The proposal is attached to these meeting minutes.

Graduate Student Leave Policy

Prof. Martin Snider, chair, Committee on Graduate Education, presented a draft of the Graduate Student Leave Policy. The draft was reviewed and approved by the Committee on Research, the Committee on Graduate Studies and the Office of General Counsel. Provost Bud Baeslack said the deans have identified a few items that still need to be addressed, such as a general statement about who has authority when special circumstances arise. The Graduate Student Leave Policy will come back to the Executive Committee for final review in fall 2012.

MPH/DMD

Prof. Martin Snider, chair, Committee on Graduate Education, presented the proposal to offer a combined degree program in public health and dental medicine. Graduates will likely work in public health agencies where they will have an opportunity to address some of the oral health problems among vulnerable groups through both patient care, research and public health promotion activities. The Executive Committee approved the proposed degree program for final approval by the Faculty Senate.

MPH/MSSA

Prof. Martin Snider, chair, Committee on Graduate Education, presented the proposal to offer a combined degree in public health and social work. Public health social work programs are some of the oldest dual degree programs in schools of social work. The program will expand career options for graduates of the Mandel School of Applied Social Science. The Executive Committee approved the proposed degree program for final approval by the Faculty Senate.

President's Announcements

President Barbara Snyder said a faculty member had been placed on administrative leave by MetroHealth because he was named in a criminal proceeding. The Executive Committee approved instituting a hearing and agreed to hold the hearing in abeyance until the related criminal matter is concluded or until the university has additional information that would permit it to proceed with a hearing.

Certificate in Clinical Research

Prof. Martin Snider, chair, Committee on Graduate Studies, presented the proposal to offer a certificate in Clinical Research. Many of the students likely to enroll will be CWRU affiliated physicians who wish to strengthen their research activities; tuition waivers don't apply to certificate programs. The Executive Committee approved the certificate program for final approval by the Faculty Senate.

MSN/PhD in Nursing

Prof. Martin Snider, chair, Committee on Graduate Studies, presented the proposal for the dual degree MSN/PhD program. The proposal will facilitate the completion of an MSN degree for BSN to PhD students for BSN students who want to obtain an MSN degree along the way. The Executive Committee approved the proposed degree program for final approval by the Faculty Senate.

BS/ME Program Option

Prof. Martin Snider, chair, Committee on Graduate Studies, said that Case School of Engineering (CSE) has recently received approval from the Ohio Board of Regents and the Higher Learning Commission of the North Central Association to offer all Master of Science (MS) degrees and the Master of Engineering (ME) degree via distance delivery mechanisms. The proposal allows students who have received a BS degree in engineering or computer science from CSE, and who are accepted for admission into the Master of Engineering (ME) degree program within a period of 24 months after graduation, to transfer up to 6 credit hours of course work from their BS degree to their ME degree program. The Executive Committee approved the proposal for final approval by the Faculty Senate.

Engineering Masters Education in Wireless Health in San Diego

Prof. Martin Snider, chair, Committee on Graduate Studies, presented the proposal to have the departments of Electrical Engineering & Computer Science (EECS) and Biomedical Engineering (BME) offer the Master of Science track in Wireless Health in San Diego through face-to-face instruction at that location. In its current form, the program is offered directly and via distance learning as a certificate program. In addition to Faculty Senate approval, this off-site program must be approved by a committee of the Ohio Board of Regents as well as by the Higher Learning Commission. The Executive Committee approved the proposal for final approval by the Faculty Senate.

Electronic Attendance for Senate Meetings

Prof. Robin Dubin, chair-elect, Faculty Senate, shared the proposal from the *ad hoc* Committee on Electronic Attendance Option for Faculty Senate Meetings to have electronic attendance and voting available for special meetings of the Faculty Senate. Prof. Dubin will work with the By-laws Committee to finalize an amendment to the Faculty Senate By-laws. The Executive Committee endorsed this plan of action.

Report from the School of Engineering

Prof. Joe Mansour, elected senator, said that faculty in the Case School of Engineering were interested in improved childcare benefits because they are important for recruiting new faculty. Faculty have some concerns about undergraduate recruitment including the ability to offer input on the intended size of the incoming class, the coordination of campus visits so that prospective students don't arrive at departments unexpectedly, and feedback about whether faculty open house presentations are effective. Faculty also commented on their concerns about the length of time it takes to get research contracts approved.

Report from the School Nursing

Prof. Christine Hudak, elected senator, said that faculty in the Francis Payne Bolton School of Nursing have been considering possible changes to its degree programs, including qualifications for the nurse practitioner program. The Faculty Senate will review the school's proposed MSN/PhD program and revisions to the school by-laws later in the month. Faculty are very happy with the enrolling first-year class at the School of Nursing for fall 2011.

Report from the School of Management

Prof. Richard Buchanan, elected senator, said the Weatherhead School of Management is searching for a new dean. The faculty are pleased with their interactions with the Case Institutional Review Board. Faculty are concerned about the large number of international students; over 90% of the students enrolled in one of the WSOM graduate programs are international. The faculty voted to merge two departments and the vote will be forwarded to the Faculty Senate for review in the fall. The school's rankings are the highest they have been in 10 years; WSOM more effectively reported the required statistics and better publicized innovative programs such as those in design and sustainability. WSOM is exploring joint initiatives with the Cleveland Institute of Art, including enhancements to Weatherhead's curriculum in design.

Other Items

CWRU's published sexual harassment policy is being corrected. There wasn't enough time to further discuss procedures for the Executive Committee.

Approval of the Wednesday, April 25, 2012 Faculty Senate meeting agenda

The agenda for the April 25 faculty senate meeting was approved. The meeting was adjourned at 4:00 p.m.

Approved by the Faculty Senate Executive Committee

Rebecca Zimm
Secretary of the University Faculty

Ad Hoc Committee on Faculty Appointments (ROTC, PHED, SAGES et al

4/11/2012 – G. Chottiner

We've committed to initiating a process to resolve the issue of faculty appointments outside the eight constituent faculties. Do we want to get started over the summer or wait until the fall? Given the full agenda the excomm has for today's meeting, the importance and complexity of this issue, and the two year deadline we've set for ourselves, it would seem reasonable to wait until the fall, but this should be a conscious decision and not one that is made by default. I've written this document to collect some thoughts for our discussion.

Faculty Senate By-Laws

Item n. Additional Committees.

The Faculty Senate may create additional standing committees, ad hoc committees, and multipartite committees and commissions.

Faculty Handbook June 2011

Sec. G. Ad hoc Committees

Par. 1. *Ad hoc* committees of the Faculty Senate may be established by the Executive Committee. The Executive Committee shall provide each such *ad hoc* committee with a specific charge stated in writing, and the *ad hoc* committee shall confine itself to the fulfillment of this charge unless otherwise authorized in writing by the Executive Committee. The maximum term of any such *ad hoc* committee shall be twelve months, subject to extension at the discretion of the Executive Committee.

Par. 2. At the discretion of the Executive Committee, such *ad hoc* committees may include members of the university community who are not themselves members of the Faculty Senate.

We need a charge, and I've quickly thrown together some language to get a discussion of this charge started.

The *ad hoc* committee on 'university' (*extra-constituent faculty*) appointments is charged with developing policies to govern faculty appointments and departments outside the eight constituent faculties, including the question of whether these should even be allowed.

The Department of Physical Education is an example of such a department. Given that its position outside the eight constituent faculties was endorsed by the faculty senate and approved by the Board of Trustees, the *ad hoc* committee should consider how the handbook could be modified to recognize its position and propose other faculty senate actions that might be needed because of this organizational structure. (*For example, do other sections of the handbook apply to faculty members in this department; should this department have bylaws?*)

The committee's report should include plans for SAGES and any other faculty members who do not have appointments in the eight constituent faculties, as well as the new, but temporary, structure for ROTC instructors.

Since many of these faculty members fall under the class of *special faculty* (often referred to as *contingent faculty*), and since policies governing such appointments are supposed to be decided by the schools/college to which they are appointed, the committee should consider whether any special policies are needed for special faculty whose appointments are not in one of the eight constituent faculties.

The *ad hoc* committee should report back to the executive committee no later than March 31, 2013, to allow time for consideration of any proposals they develop before the end of the 2012-2013 academic year, and to allow time to extend the term of the committee if this is necessary.

Potential committee structure

Representative from each of the eight constituent faculties?

Representative from PHED?

Senate committee on faculty personnel

FROM Patricia Higgins, 3/29/2012:

RE a committee to determine how appointments outside the eight faculties should be handled, I can poll the committee but my personal preference is for an ad hoc committee, with representatives from all 8 faculties, plus Colleen Treml and whoever else we think should be on it.

My rationale for this point of view stems from two points: 1] this is a major decision that involves the entire university; and 2] FSPersonnel does not have reps from all faculties [MSASS and Weatherhead come to mind as absent].

Further, if a Personnel committee member wants to volunteer to represent their school, I'm sure that would be welcomed.

Provost's representative?

Dean's representative?

SAGES representative?

Office of General Counsel's guidance

When the issue of ROTC appointments was first raised, the Office of the General Council was asked for guidance on interpreting the Faculty Handbook with regard to appointments outside the eight constituent faculties. I've since asked for something in writing that I could distribute to the senate committee that will be charged with handling this issue. The following came from Colleen Treml on April 4, 2012.

Don (Feke) had discussed with me the issue of whether faculty appointments or a department could exist outside of a school/constituent faculty under the Faculty Handbook's language. Gary also has asked our office for an opinion on this issue, and Gary and I spoke about it this week. Gary had asked that I provide some guidance in writing.

As I had indicated to Don, there does not seem to be a clear answer on this from the Faculty Handbook. Generally, the Handbook says that the faculty are organized in the constituent faculties. i.e. Ch. 2 Introduction (“The faculty of the University comprises eight constituent faculties. . . “ ; Ch. 2 Art. VII – “the University Faculty shall be organized into constituent faculties, each responsible. . . “ and “Each constituent faculty shall be governed in accordance with by-laws . . . “ Also, Ch. 2, Art. VII says “Each member of the University Faculty holding a principal appointment in such a faculty (a constituent faculty) shall normally have an appointment in a department.” While generally the Handbook says faculty are organized into constituent faculties, nothing in the Handbook explicitly says a faculty appointment can’t be made outside of the constituent faculties. In addition, the Faculty Senate and Board have approved the existence of faculty appointments outside a school/constituent faculty in approving Physical Education appointments existing outside a school. As you know, the Handbook specifically indicates that Physical Education & Athletics shall elect its faculty senator by majority vote. (Ch. 2, V.F), recognizing that these faculty do not exist in a constituent faculty. As I think you also know, the historical information indicates the Faculty Senate and Board in 1974 approved the separation of Physical Education from the Faculty of Social & Behavioral Sciences and the placement of the department under the direction of the University Vice President. Later, it reported to the VP for Finance & Administration, and in 1989, to Student Affairs. I also understand that SAGES faculty are an exception in that they exist outside a constituent faculty.

In light of Physical Education having appointments outside a school, there is precedent for having a department or faculty appointments exist outside a school. It is not clear that there would need to be a modification to the Handbook to address allowing a department to exist outside a school since there is one exception already recognized in the Handbook and the existence of the new department for Army ROTC appears to be following the same process as for Physical Education (Faculty Senate and Board approval of the department, and the department reporting to the Provost Office). One issue may be that because the Handbook does not provide for representation for an Army ROTC department, that issue may need to be addressed in terms of providing Senate representation, as with PE. Also, since this issue is not totally clear and there will be a two-year period to review it, it would make sense during this time to consider other alternatives, including a process to guide when a department can exist outside a constituent faculty and how representation in the Senate would be determined for such departments. This could include clarification in the Handbook about these issues.

Appointments to Center for International Affairs Advisory Panel

4/11/2012 – G. Chottiner

The Draft Plan for Internationalization specifies that the Faculty Senate should select three members for the Advisory Council described below. Candidates' names are not yet available for today's excomm meeting but should be ready for the senate meeting in two weeks. Would the excomm like to review these appointments in advance of the senate meeting and vote on them by email, or handle this in some other fashion?

- An Advisory Council should be established to take over the strategic functions currently exercised by the IPC upon conclusion of the internationalization planning process, including (i) providing ongoing advice regarding the development of the university's global strategy and the strategic direction of the Center for International Affairs (including additional structural development of the office), (ii) serving as a central advisory body to address cross-unit internationalization issues and facilitate cross-unit coordination of resources (financial and non-financial) for internationalization and (iii) carrying out a communications function to help create visibility and facilitate the culture shift represented by internationalization. The Advisory Council is intended as a strategic, advisory body; it will not be responsible for oversight of the day-to-day operations of the Center for International Affairs. The Advisory Council should meet once every semester or as needed and should include the following:
 - o Deans of the seven Schools and the College of Arts and Sciences, to serve on a rotating basis with two Deans serving at a time—one dean from an Undergraduate Program Faculty school/college and one dean from a non-Undergraduate Program Faculty school
 - o Three faculty members selected by the Faculty Senate
 - o Vice Provost for Undergraduate Education
 - o Vice Provost for Graduate Studies
 - o Vice President for Student Affairs
 - o One undergraduate student selected by the Undergraduate Student Government
 - o One graduate/professional student selected by an appropriate governing body
 - o Associate Provost for International Affairs (ex officio)
 - o Director for International Affairs (ex officio)

6/19/09

CASE WESTERN RESERVE UNIVERSITY
POLICIES ON INDIVIDUAL CONFLICTS OF INTEREST AND
INSTITUTIONAL CONFLICTS OF INTEREST

Introduction

This document establishes policies on individual conflicts of interest and institutional conflicts of interest.

Research, scholarship, and other creative endeavors have enormous potential to benefit humankind, and the University strongly supports efforts to bring discoveries to society. The purpose of these policies is to protect the University, its faculty, non-faculty employees, students, and trainees, and human subjects and animals in research; and to comply with applicable federal laws. The policies seek to accomplish this by striking the proper balance between, on the one hand, the goal of preserving academic freedom and encouraging outside scholarly and entrepreneurial activities by members of the University that enhance the prestige and reputation of the University and benefit society, and, on the other hand, the need to preserve the integrity of the University and its members and to fulfill the University's responsibilities to the public. In striking this balance, the interests of the public, the integrity of the University and its individual members, and the safety of research subjects always must be given priority.

These policies apply generally to the members of the Board of Trustees, all University officers, senior officials, faculty (whether or not engaged in research or other scholarly or creative endeavors), volunteer faculty at the School of Medicine engaged in ~~sponsored~~University research, post-doctoral fellows and scholars, non-faculty employees, students, and trainees. The specific policies cover specific types of individuals.

Availability of the Policy

The University will maintain an up-to-date, written, enforced policy on financial conflicts of

~~interest that complies with applicable regulations, including any federal financial conflict of interest regulations. The policy will be posted and available via a publicly accessible web site. The University will inform covered individuals of the policy and of their responsibilities regarding disclosure. The University will inform covered individuals in the event that the policy is revised and updated.~~

The University Conflict of ~~Interest~~Interests Committee:

The members of the Conflict of ~~Interest~~Interests Committee, including the leadership of the committee, are appointed by the President and include faculty, non-faculty employees, and administrators. The Conflict of ~~Interest~~Interests Committee includes at least one member of the public who serves as a regular member of the Conflict of ~~Interest~~Interests Committee, and a second member of the public who serves as an alternate member of the Conflict of ~~Interest~~Interests Committee. The members of the public must not have any affiliation with the University (including as alumni, faculty, clinical faculty, adjunct faculty, or emeritus faculty) or with its affiliated hospitals (other than as patients). To the maximum extent possible, the members of the public must be independent of the line of authority for institutional oversight of research. A majority of the members of the Conflict of ~~Interest~~Interests Committee are members of the faculty as defined in Article I, sections (A) and (B) of the University Faculty Handbook, and one of these faculty members is appointed by the Executive Committee of the Faculty Senate. Membership also includes representatives from hospitals affiliated with the University. These members only participate in the resolution of conflicts of interest involving research.

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The Conflict of Interests Committee is supported by the Conflict of Interests Committee Staff.

Members of the Conflict of ~~Interest~~Interests Committee must recuse themselves from consideration of their own conflicts of interest, or institutional conflicts of interest that relate to their own conflicts of interest.

I. Individual Conflict of Interest Policy:

A. Who is covered by this policy?

The conflict of interest policy applies to the members of the Board of Trustees; all University officers; senior (“cabinet-level”) officials of the University (comprising the President, Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, Inclusion and Equal Opportunity, and any other individual that the President designates); all University faculty ~~except volunteer faculty in the School of Medicine (unless engaged in sponsored research)~~ and except special faculty members who are not paid by the University, unless engaged in ~~sponsored~~University research; emeritus faculty ~~members~~ who have an ongoing relationship with the University ~~or, e.g.,~~ who are ~~applying for or~~ engaged in ~~sponsored~~University research; post-doctoral fellows; all employees; students; and trainees. “University faculty” ~~members~~ are those individuals defined as University faculty such in the Faculty Handbook.

This policy applies to these individuals regardless of where they conduct activities covered by the policy.

B. What is an individual conflict of interest?

An individual conflict of interest exists when an individual covered by this policy has a financial interest that might adversely affect or appear to a reasonable person to adversely affect the individual’s judgment in carrying out University responsibilities, or that might adversely affect or appear to a reasonable person to adversely affect the University’s responsibility to the public, the safety of research subjects, or the integrity of research.

C. Reporting Disclosure

“Disclosure” – “Disclosure” means an individual’s disclosure of financial interests and/or significant financial interests to the University.

The ~~reporting~~disclosure requirements under this policy are broad, in order to provide adequate protection for individuals covered by the policy, the University and affiliated institutions, and the public interest. It is important to recognize that a ~~reporting~~disclosure requirement does not indicate that the activity in question is in any way objectionable; indeed, ~~reporting~~disclosure is required in connection with many activities in which members of the University are expected to engage, such as funded research, or that are otherwise praiseworthy, such as the receipt of honorary awards.

1. Who must ~~report~~disclose?

The following individuals must ~~report~~disclose under this policy: the members of the Board of Trustees; all University officers and senior officials, as defined in section I(A) of this policy; all University faculty (whether or not engaged in research), except ~~volunteer faculty in the School of Medicine (unless engaged in sponsored research)~~ and except special faculty members who are not paid by the University, unless engaged in ~~sponsored~~University research; emeritus faculty; ~~and senior members who have an ongoing relationship with the University, e.g., who are applying for or engaged in University research; and Senior~~ key personnel and other individuals who contribute to the scientific development or execution of a research project in a substantive way, and any other employees at the request of their supervisor. Individuals who have no disclosable interests must still submit an annual disclosure form to be in compliance with this policy.

Students and post-doctoral fellows and scholars do not have to ~~report~~disclose unless they contribute to the scientific development or execution of a research project in a substantive way.

2. What activities must be ~~reported~~disclosed?

Individuals covered by this policy must ~~report~~disclose any financial interest (defined in the attached glossary Definitions) and the

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acceptance of any gifts, favors, or anything of value, by the individual or the individual's spouse, dependent children, domestic partner, or any other dependent person who is a member of the same household as the individual, that directly or indirectly might influence or appear to a reasonable person to influence the individual's responsibilities as a member of the University.

Individuals covered by this policy who engage in research must ~~report~~disclose any financial interest, no matter how small, that the individual or the individual's spouse, dependent children, domestic partner, or any other dependent person living in the same household as the individual, has in any entity that sponsors or supports the research or that holds a financial interest in the subject of the research, and also must ~~report~~disclose the acceptance of any gift, favor, or anything of value from an entity that sponsors the research or that holds a financial interest in the subject of the research.

Individuals covered by this policy also must ~~report~~disclose whenever a previously ~~reported~~disclosed conflict of interest is eliminated.

Whenever an individual covered by this policy has any doubt about whether or not an activity must be ~~reported~~disclosed, the individual should ~~report~~disclose the activity.

3. What activities are permitted without ~~reporting~~disclosure?

Certain activities may be engaged in without ~~reporting~~disclosure. Typically, these are activities not covered in section 2 above, and in which academics routinely engage and in which an individual's financial interests are not expected to influence ~~the individual's judgment~~his/her judgment. Disclosure is also not required for salary, royalties or other remuneration paid by the University to the individual if the individual is currently employed or otherwise appointed by the University.

Examples of activities in which individuals may engage without ~~reporting~~disclosure include:

Receiving royalties for published scholarly work and other writings.

Accepting reasonable meals and other customary business amenities (such as pads

and pens) that are provided as part of a seminar, course, meeting, or other business-related gathering.

~~Income and travel expenses from service on advisory committees or as a reviewer for governmental and recognized inter-governmental or academic entities or professional societies.~~

Honoraria for reviewing scholarly manuscripts for publication by academic journals or presses.

Travel that is reimbursed or sponsored by a federal, state or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Income from ~~diversified investment vehicles, such as~~ mutual funds.

Honoraria and travel support for scholarly presentations to U.S. federal agencies (such as the National Science Foundation, National Institutes of Health, Department of Energy, Department of Defense, National Endowment for the Arts, and National Endowment for the Humanities); retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles.

Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Royalties or other payments extending from intellectual property rights assigned to the

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University, and agreements to share in royalties or other payments related to such rights.

Grants and contracts administered through the University.

Whenever an individual has any doubt about whether or not an activity must be reported/disclosed, the individual should report/disclose the activity.

4. How is reporting/disclosure to be made and to whom?

The University's reporting process is administered by the University's All members of the University community are covered by the Conflict of Interest Office, except that reporting policy, but disclosure requirements vary according to the individual's role(s) with the University.

Generally, annual disclosure is made to the Conflict of Interests Committee using the form provided by members the University.

Members of the Board of Trustees, the President, the Provost, all and other senior officials of the University, as well as the Chair of the Conflict of Interest Committee, is disclose using a separate process administered by the Office of the General Counsel, and except that the General Counsel reports to the President. Each year.

Those staff members and other individuals covered by this policy must report in writing any activities listed above. Reports called for by the Conflict of Interest Committee are submitted to that committee. Reports called for by the Office of General Counsel are submitted to that office. The reports received by the Conflict of Interest Committee are shared with the deans and department chairs of the reporting faculty.

Individuals covered by this policy who are not required to report to the Conflict of Interest Committee (other than those described in the preceding paragraph who must report to the Office of General Counsel or the President) must report complete an annual disclosure form must disclose to their supervisors any financial interest that relates to their University responsibilities to their supervisors at their annual review. Supervisors who determine that an individual may have a conflict of interest must report this to

the Conflict of Interest-Office/Interests Committee for further review.

Compliance with this policy does not relieve the individual from complying with IRB or IACUC reporting/pertinent regulatory committee disclosure requirements.

5. When is reporting/disclosure to be made?

Reporting/Disclosure must occur at least annually as instructed in accordance with the time period prescribed by the Office/University. For those who are listed on sponsored projects, disclosure must occur no later than the time of General Counsel or the Conflict of Interest Office-funding application. Individuals also must report the Conflict of Interest-Office or the Office of General Counsel/discard, as appropriate, within 1030 days after they become aware of discovering or acquiring a reportable/disclosable interest or within 30 days after a conflict-of-financial interest has been eliminated. Individuals who have no reportable interests must still submit an annual report to be in compliance with this policy.

Individuals who have been recruited to the University must report/disclose any conflicts of interest sufficiently in advance of their start date that the conflicts can be reviewed and resolved by the Conflict of Interest/Interests Committee prior to their start date.

Reporting/Disclosure or confirmation/updating of previously disclosed information also is required at the time a research proposal is submitted on the electronic University Review Form, and when a research proposal is submitted to relevant review bodies (such as the CWRU IRB, Cancer IRB, CWRU IACUC, and affiliated IRBs), as required.

As per the Code of Federal Regulations (42 CFR part 50), the University will report a conflict of interest related to Public Health Service (PHS)-funded research to the PHS awarding component. Whenever possible, this report will take place prior to the expenditure of grant funds. It always will take place within 60 days of identifying a new conflict of interest.

The report to the PHS Awarding component will specify whether the University has managed, reduced or eliminated the financial conflict of interest. If the failure of an individual to comply

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with PHS regulations has biased the design, conduct, or reporting of PHS-funded research, the University must promptly notify the PHS Awarding component of the corrective action taken or to be taken. Note: The PHS Awarding Component will consider the situation and, as necessary, take appropriate action, or refer the matter to the University for further action which may include directions to the Institution on how to maintain appropriate objectivity in the funded project.

In accordance with 42 CFR 50.604(e), the University will maintain records of all financial disclosures and all actions taken by the University with respect to each conflicting interest for at least three years, and in the case of PHS-funded research, from the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 CFR 74.53(b) for different situations (e.g., transferred records, instances of litigation, etc.)

D. Review and approval.

1. What is the review process?

The Conflict of Interests Committee Chair and Staff, or the Office of General Counsel Staff, as appropriate, conducts an initial review of all the reports it receives. The Conflict of Interest Office conducts an initial review of all reports it receives; disclosures they receive.

If necessary, they obtain additional information from the disclosing individual covered by the policy and from other individuals who possess relevant information. The Conflict of Interests Committee Chair and Staff, or the Office of the General Counsel or the Conflict of Interest Office, as appropriate, then identifies those activities that must be reviewed and approved by the Conflict of Interest Committee, and those activities that may proceed without review by the Conflict of Interest Committee. The Office of the General Counsel or the Conflict of Interest Office Staff, as appropriate, notifies the Conflict of Interests Committee or the Board of Trustees, respectively, of those activities that must be further reviewed and approved.

2. What is the approval process?

In reviewing a reported activity, the Conflict of Interests Committee assumes that the activity cannot be undertaken without a suitable

management plan. However, in some cases, the activity may be approvable without a management plan. In determining reviews all disclosures to determine whether the disclosed financial interests are significant, whether they are related to the individual's University responsibilities, and whether a management plan is required. Reviews of individual disclosures conducted solely by the Audit Committee of the Board of Trustees are conducted according to the rules of the Board of Trustees.

In conducting review, the Conflict of Interest Interests Committee considers the significance of the conflict of interest (such as the size a number of factors, including the value of the individual's financial interest); and in the case of research, whether or not the individual is uniquely qualified by virtue of expertise and experience to conduct the research project and, whether the research could not be conducted as safely or effectively without that individual, and the degree of risk imposed on research subjects.

Following are some examples of conflicts of interest. In specific cases, individuals may be able to engage in some of these activities with a suitable management plan:

- a. ~~Serving~~ While serving as an investigator on a research project involving human subjects, that is either sponsored by a company or related relates to the company's products while that faculty member, an individual is receiving royalties, consulting fees, from and/or has equity (or stock options or a future "inventor's share") in the same company.
- b. Ghostwriting or having the individual's name attached to a paper written by another individual consulting for or directly employed by industry, including papers featuring data that were simply presented to the An individual (without the opportunity to analyze directly, perform calculations, review and/or question the data).
- c. A faculty member directing students to purchase books for a course from a bookstore in which he or she or his or her immediate family have a significant ownership interest.

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d.b. ~~Managing~~manages the renovation of departmental offices and ~~participating~~participates in the selection of an architectural firm in which his ~~or her~~ spouse is a partner.

e. A faculty member acting as a thesis or dissertation advisor to a graduate student for a research project, suggested by the faculty member, that the faculty member expects will substantially enhance the value of a company in which the faculty member has a significant ownership interest.

f. A professor requiring students currently enrolled in his or her class to participate in his or her graduate student's thesis research project as part of course requirements unless deemed pedagogically justified by the individual's department chair or dean.

g. A professor requiring students currently enrolled in his or her class to participate in his or her or another professor's research project unless deemed pedagogically justified by the individual's department chair or dean.

h.c. A faculty or non faculty employee with a financial interest in an outside company ~~servings~~serves as the direct academic ~~or research~~ supervisor of a university student ~~trainee who is~~ employed by that company.

i. A faculty member with a financial interest in an outside company ~~While~~ serving as the sole thesis committee chair if the focus of the student's thesis is based on research sponsored by the company.

j. Issuing a University subcontract for research to an outside entity in which the local principal investigator on the research project has a financial interest.

k. Receiving research support for human subjects research from industry without a contract, or for more than the reasonable costs of conducting the contracted research.

l. Accepting financial support directly from external sources, rather than through the university, for research conducted in a

~~University laboratory or utilizing University resources.~~

m. ~~Accepting compensation from companies for attending or defraying the costs of an industry-sponsored continuing medical education event (including gifts, travel, or accommodations) if the individual is not speaking or presenting.~~

n. ~~Presenting talks or serving on speakers' bureaus that advertise, market or advance industry products, devices or other technologies, including the marketing of off-label drugs.~~

o. ~~Receiving payments conditioned upon a particular research result or tied to successful research outcomes.~~

p.d. ~~While serving on a the~~ board of directors, ~~participating in human subjects research on a technology owned by or obligated to the of a business, or receiving an individual acts as an investigator on research sponsored research from by~~ the business.

q. ~~Possessing a financial interest that competes with the services provided by the University.~~

r. ~~Taking administrative action within the University that is beneficial to a business in which an An individual has a financial interest.~~

s. ~~Accepting personal gifts from industry, however small, including for listening to a sales talk by an industry representative, or for prescribing or changing a patient's prescription.~~

t.c. ~~Making~~makes referrals to a business in which ~~an individual~~ ~~he or she~~ has a financial interest.

~~In the case of an individual who is newly hired at the University, the Conflict of Interest Committee may permit a prohibited conflict of interest to continue for a finite period of time during a suitable transition period, provided that the period is as short as possible.~~

3.2. Management plan.

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The Conflict of ~~Interest~~Interests Committee may decide to approve an activity subject to a suitable management plan.

To "manage" means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflicts of interest, and, in the case of conflicts of interest involving research, to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

The management plan may include but is not limited to:

- a. Requiring the individual to recuse him/herself from particular business decisions.
- b. Requiring the individual to inform certain persons or institutions about the conflict of interest and the management plan (such as the ~~Office of Research Compliance, IRBs, IACUCs, subjects-relevant review bodies, as required~~; state and federal officials; research sponsors; co-investigators; colleagues; junior colleagues; students; trainees; members and prospective members of the individual's research laboratory; journals to which manuscripts about the research are submitted; and media, lay, and professional audiences with whom the research or other activity is discussed orally or in writing).
- c. Requiring the individual to refrain from participating in certain activities or aspects of activities relating to the research project (such as requiring IRB members with conflicts of interest in connection with research protocols to recuse themselves from deliberations on those protocols, or, where compelling circumstances exist to allow certain research stages or activities to proceed despite a conflict of interest, restricting the individual's roles to those stages and activities, including establishing a point in time for stopping participation and strategies to keep the individual's involvement at a minimum).
- d. Requiring the activity to be approved by additional individuals or entities (such as deans, department chairs, or program chairs).

- e. Requiring others to review academic decisions in which the individual participates.
- f. Requiring independent involvement in the research (such as in recruiting and selecting subjects, participating in or designing the consent process, providing clinical treatment to subjects apart from the research intervention or procedures, monitoring data, reviewing study design, collecting data, and determining authorship status or order).
- g. Requiring the individual to reduce, modify, or eliminate a financial interest (including divesting ownership, restricting the sale or exercise of stock and stock options, and deferring or waiving royalties or milestone payments).
- h. Requiring the individual to vacate a position.
- i. Prohibiting the individual from disclosing confidential institutional information or channeling discoveries to an outside entity.
- j. Prohibiting the research from taking place at the University.
- k. Requiring continued oversight of the activity by the Conflict of ~~Interest~~Interests Committee.

Management plans are developed according to the nature of the significant financial interest and of the ~~sponsored research-related University activity~~, e.g., whether there is an institutional as well as an individual conflict of interest, and whether the investigator is conducting ~~bench, animal or human subjects~~ research.

~~Before finalizing a management plan, the The Conflict of Interest~~Interests Committee ~~must review the plan with the appropriate dean; may involve the individual in the case~~conflict of University officers, with the appropriate senior official; and in the case of non-school-based non-faculty employees, with the senior University official with oversight over them~~interest assessment~~. If the ~~dean or senior official and the Conflict of Interest~~Interests Committee ~~are unable to agree on the terms of~~determines a management plan is required, then upon finalizing the management plan, the ~~matter is referred~~Conflict of Interests Committee will

provide the management plan to the individual and inform the individual that the management plan is in effect.

E. Training

Information regarding the University's conflict of interest policy and procedures will be made available to the Provost or Senior Vice President University community. All individuals required to disclose will receive pertinent information regarding disclosure requirements. The University will comply with federal financial conflict of interest regulations regarding providing training on requirements, including disclosure requirements for Administration-investigators applying for and engaged in PHS-funded research.

F. Reporting

The University will comply with federal regulations regarding reporting of financial conflicts of interest, e.g., by submitting financial conflict of interest reports to the awarding component, as required.

The University will comply with federal financial conflict of interest regulations regarding making publicly available information on identified financial conflicts of interest held by investigators and key personnel on PHS-University research.

G. Subrecipient Reporting

The University will comply with federal conflict of interest regulations regarding subrecipient agreements, including for PHS-funded awards.

H. Record Keeping

The University complies with federal regulations regarding maintaining records relating to all disclosures of financial interests and the University's review of, and response to, such disclosures.

I. Appeals:

If an individual covered by this policy who is a faculty member is dissatisfied with a determination of the Conflict of ~~Interest~~Interests Committee, the individual may submit a written appeal to the Provost within 10 days of receipt of the decision. The appeal shall be decided by the

Provost or his/her designee. The Provost or his/her designee will make best efforts to render a decision in writing within 30 days of receipt of the appeal. If the Provost upholds the Conflict of ~~Interest~~Interests Committee's determination, the Provost's decision is final. If the Provost modifies or overrules the Conflict of ~~Interest~~Interests Committee's determination, the Conflict of ~~Interest~~Interests Committee may appeal to the President.

A non-faculty employee who is dissatisfied with a determination of the Conflict of ~~Interest~~Interests Committee may submit a written appeal to the Senior Vice President for Administration within 10 days of receipt of the decision. The appeal shall be decided by the Senior Vice President or his/her designee. The Senior Vice President or his/her designee will make best efforts to render a decision in writing within 30 days of receipt of the appeal. If the Senior Vice President for Administration upholds the Conflict of ~~Interest~~Interests Committee's determination, the decision of the Senior Vice President for Administration is final. If the Senior Vice President for Administration modifies or overrules the Conflict of ~~Interest~~Interests Committee's determination, the Conflict of ~~Interest~~Interests Committee may appeal to the President.

If the individual is the President or senior official, the President or senior official may submit a written appeal to the Audit Committee of the Board of Trustees within 10 days of receipt of the decision.

If the individual is a member of the Board of Trustees, the appeal is conducted in accordance with the policies and procedures of the Board of Trustees.

~~If, when the Conflict of Interest Committee and the dean or senior official who reviews a management plan are unable to agree on the terms of the plan and the matter is referred to the Provost or Senior Vice President for Administration, the Conflict of Interest Committee or the dean or senior official is dissatisfied with the decision of the Provost or Senior Vice President for Administration, they may refer the matter to the President.~~

II. Institutional Conflict of Interest Policy:

A. Who is covered by this policy?

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This institutional conflict of interest policy applies to the members of the Board of Trustees, the President, the Provost, all senior (“cabinet-level”) officials of the University (comprising the President, Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, and any other individual that the President designates), vice presidents, vice provosts, deputy provosts, deans, associate and vice deans, department chairs, academic division chiefs, directors of department-level centers, IRB chairs, the chair of the Conflict of Interest/Interests Committee, the chair of the Institutional Biosafety Committee, and directors of institutes and centers with department-level status.

B. What is an institutional conflict of interest?

An institutional conflict of interest arises when the financial interests of the University, or of a University official acting within his or her authority on behalf of the University, may influence or appear to influence the research, education, clinical care, business transactions, or other activities of the University. In the case of research, the concern is that the financial interests of the University, or of a University official acting within his or her authority on behalf of the University, might affect—or reasonably appear to affect—University processes for the conduct, review, or oversight of the research.

An institutional conflict of interest also might arise when an individual covered by this policy receives a financial or other benefit from the use or disclosure of non-public information pertaining to the University.

Institutional conflicts of interest may arise when outside activities are inconsistent with an individual’s responsibilities to the University. Outside activities include leadership participation in professional, community, or charitable activities, self-employment, participation in business partnerships, employment or consulting arrangements with entities other than the University, either compensated or uncompensated, and service on any private-sector board, including for-profit, non-profit, advisory, or honorary. These

activities are inconsistent with an individual’s responsibilities to the University when they adversely influence or appear to adversely influence the research, education, clinical care, business transactions, or other activities of the University.

An individual conflict of interest may raise an institutional conflict of interest issue and vice versa.

C. Reporting-Disclosure

There is no separate individual reporting/disclosure under the institutional conflict of interest policy. The information reported/disclosed on individual conflict of interest forms is used in carrying out the institutional conflict of interest policy.

In addition, the Conflict of Interest Office/Interests Committee Staff periodically must receive the following information:

1. From the Senior Vice President of Finance and Chief Financial Officer, a list of the entities in which the University has any financial interest.
2. From the Board of Trustees, a list of the entities in which members of the Board of Trustees and senior officials of the University, their spouses, dependent children, domestic partners, or any other dependent person living in the same household as the individual, have any financial interest. The list of entities provided by the Audit Committee of the Board of Trustees to the Conflict of Interest/Interests Committee does not contain the identities of the individuals who have the financial interest in those entities.
3. From the Office of Development, a list of major gifts to the University.
4. From the Office of Research and Technology Management, a list of the University’s equity holdings and technology licenses.

D. Review-and-approval.

1. What is the review-process?

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Reviews of ~~reports individual disclosures~~ conducted solely by the Audit Committee of the Board of Trustees are conducted according to the rules of the Board of Trustees.

In the case of all other ~~reports individual disclosures~~, the Conflict of ~~Interest Interests Committee Chair and Staff, or the Office of General Counsel Staff, as appropriate,~~ conducts an initial review. If necessary, ~~it obtains they obtain~~ additional information from the ~~disclosing individual covered by the policy~~ and from other individuals who possess relevant information.

~~The Conflict of Interest Office also reviews potential institutional conflicts of interest that are not required to be reported by an individual, such as non-reportable potential conflicts that the Conflict of Interest Office becomes aware of based on its review of the lists it receives. The Conflict of Interests Committee Chair and Staff utilize information provided by the offices and departments of the institution (e.g., from the Senior Vice President of Finance and Chief Financial Officer, the Board of Trustees, the Office of Development, and the Office of Research and Technology Management) to review potential institutional conflicts of interest received.~~

The Conflict of Interest ~~Office Chair and Staff~~ then ~~identifies identify~~ those activities that must be ~~further reviewed and approved~~ by the Conflict of ~~Interest Interests Committee~~. ~~The Conflict of Interests Committee will review the disclosures it receives to determine whether the disclosed financial interests of institutional officials or of the University are significant and those whether they are related to University activities that may proceed without review by the Conflict of Interest Committee, and notifies the Conflict of Interest Committee of those activities that the committee must review and approve. If so, whether management is required to manage the institutional conflict of interest.~~

~~2. What is the approval process?~~

~~In reviewing a reported activity, the Conflict of Interest Committee assumes that the activity cannot be undertaken without a suitable management plan. However, in some cases, the activity may be approvable without a management plan. In determining whether a management plan is required, the Conflict of Interest Committee considers the significance of~~

~~the institutional conflict of interest (such as the size of the individual's financial interest); whether or not there the individual is uniquely qualified by virtue of expertise and experience to conduct the research project and the research could not be conducted as safely or effectively without that individual; and the degree of risk imposed on research subjects.~~

~~In conducting review, the Conflict of Interests Committee considers a number of factors, including value of the institutional financial interest and the nature of related University activities.~~

Following are some examples of institutional conflicts of interest. In specific cases, individuals may be able to engage in some of these activities with a suitable management plan:

- ~~a. Activities in which the University or a University official, acting within his or her authority on behalf~~A vice president of the University, has a financial interest (as defined below) that may adversely affect or appear to a reasonable person to adversely affect the research, education, clinical care, business transactions, or other activities of the University.
- ~~b. Activities in which an individual covered by this policy has a financial interest that directly or indirectly might influence or appear to influence the individual's University responsibilities.~~
- ~~c. Activities in which an individual covered by this policy receives a financial or other benefit from the use or disclosure of non-public information pertaining to the University.~~
- ~~d. Outside activities (including leadership participation in professional, community, or charitable activities, self-employment, participation in business partnerships, any employment or consulting arrangements with entities other than the University, either compensated or uncompensated, and any service on any board, including for profit, non-profit, advisory, or honorary) that adversely influence or appear to adversely influence the research, education, clinical care, business transactions, or other activities of the University.~~
- ~~e. Research at the University on human subjects (including serving as the principal investigator or sharing in the responsibility~~

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for the design, conduct, or reporting of the research) by individuals covered by this policy who have a financial interest (as defined below), no matter how small, that the individual or the individual's spouse, dependent children, domestic partner, or any other dependent living in the same household as the individual, in any entity that sponsors the research or owns a technology that is the subject of the research:

f.a. Research at the University on human subjects or on animals (including serving as the principal investigator or sharing in the responsibility for the design, conduct, or reporting of the research) by individuals covered by this policy who materially participate in a signs off on a procurement or purchasing decision involving major purchases from, or non-routine supply contracts with; a commercial entity that sponsors the research of which he is a director.

A "financial interest" includes income; honoraria; consulting fees; advisory board fees; membership on a speaker's bureau; remuneration; gifts or other emoluments; "in kind" compensation; equity such as stock, stock options or other ownership interests; royalties; non-university grants; debts; loans; non-university contracts; licensing agreements; inventors' shares; and a board or other position with advisory or fiduciary duties, even if uncompensated.

3. Management plan:

- b. A department chairman serves as an investigator in a research project sponsored by a company from which she receives consulting income.
- c. As patent-holder, the University stands to gain royalties from intellectual property licensed to a company, and that intellectual property is being investigated under a research contract with the University.
- d. A company that has made a major gift to the University has requested special consideration in the bidding process as

a vendor. The individual considering the bid is a consultant for the company.

- e. A start-up company partially owned by the University has requested a discounted rate in utilizing several University core facilities. The facilities are overseen by an individual who is the chief scientific officer of the company.

2. Management

The Conflict of ~~Interest~~Interests Committee may decide to approve an activity subject to a suitable management plan. The management plan may include:

- 4-a. Isolating the individual from involvement in research or decision-making regarding research.
- 2-b. Requiring the individual to reduce, modify, defer, waive, or eliminate the financial interest that is the source of the conflict, such as equity holdings, royalty income, stock options and milestone payments.
- 3-c. If recusal would preclude the individual from fulfilling the responsibilities of a University position, requiring the individual to eliminate the holdings or vacate the position.
- 4-d. Requiring the individual to recuse him- or herself from institutional decisions regarding the outside entity that is source of conflict.
- e. Requiring the individual to make periodic written disclosure of the conflict to all administrators, faculty, non-faculty employees, and students under individual's supervision, to ~~the Office of Research Compliance Administration~~, IRBs, IACUCs, subjects, state and federal officials, research sponsors, co-investigators, colleagues, junior colleagues, students, trainees, members and prospective members of the individual's research laboratory, journals to which manuscripts about the research are submitted, and media, lay, and professional audiences with whom the research or other activity is discussed orally or in writing.
- 5.
- 6-f. Appointing independent individuals or committees to oversee high-level

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administrative decisions (e.g., financial decisions, space allocations, appointments and promotions) in which the individual participates.

~~7.g.~~ Prohibiting the research from taking place at the University.

~~8.h.~~ Eliminating, reducing, or modifying the University's financial stake in an outside entity or research project.

~~9.i.~~ Enhancing or creating firewalls or other conflict-management systems to separate financial and research decision-making.

~~10.j.~~ Requiring independent involvement in the research (such as in recruiting and selecting subjects, participating in or designing the consent process, providing clinical treatment to subjects apart from the research intervention or procedures, monitoring data, reviewing study design, collecting data, and determining authorship status or order).

~~11.k.~~ Preventing the individual from serving as the principal investigator, co-principal investigator, or investigator on the research project.

~~12.l.~~ Protecting students, trainees, junior colleagues and/or non-faculty employees by preventing or limiting their participation in the research project, preventing or limiting them from working in newly-formed companies involving conflicted superiors, informing them of the potential conflict, giving them access to senior faculty and non-faculty employees to review questions or concerns, having academic decisions outside the research activity made or reviewed by independent individuals, and recusing the conflicted individual from the chain of authority over salary, promotion, and space allocation decisions.

~~13.m.~~ Prohibiting the individual from participating in institutional negotiations with the outside entity except as the University directs.

~~14.n.~~ Prohibiting the individual from serving on the board of directors of the outside entity, or as an officer, member of the scientific advisory board, member of a speakers' bureau, or consultant.

~~15.o.~~ Prohibiting the individual from disclosing confidential University information.

~~16.p.~~ Prohibiting the individual from channeling discoveries to the outside entity.

~~17.q.~~ Prohibiting the ~~university~~University from accepting research grants from companies founded by the individual.

~~Before finalizing a management plan, the Conflict of Interest Committee must seek input from the appropriate University officials~~

E. Appeals

When an individual ~~with~~has an individual conflict of interest and an institutional conflict of interest also ~~has an individual conflict of interest~~exists, the appeal process under the individual conflict of interest policy applies.

In the event that an individual who ~~is charged with executing an institutional conflict of interest~~management plan but who does not have an individual conflict of interest is dissatisfied with a determination of the Conflict of ~~Interest~~Interests Committee, the individual may submit a written appeal to the President within 10 days of receipt of the decision. If the individual is the President, the President may submit a written appeal to the Audit Committee of the Board of Trustees within 10 days of receipt of the decision. If the individual is a member of the Audit Committee, the Audit Committee's deliberations and decision is conducted in accordance with the policies and procedures of the Board of Trustees.

If the President or the Audit Committee upholds the Conflict of ~~Interest~~Interests Committee's determination, the decision is final. If the President modifies or overrules the Conflict of ~~Interest~~Interests Committee's determination, the Conflict of ~~Interest~~Interests Committee may appeal to the Audit Committee.

III. Confidentiality

All information contained in ~~reports~~disclosures or obtained in the course of reviewing a potential conflict of interest, ~~or~~ institutional conflict of interest, ~~or conflict of commitment~~, is ~~strictly kept~~confidential, ~~subject to the~~

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University's reporting obligations to government agencies, research sponsors and the public. The information is only available to the Conflict of Interest Office Interests Committee and its Staff, and to the individuals charged with the responsibility for review in the particular case. In addition, the disclosures received by the Conflict of Interests Committee are shared with the deans and department chairs or supervisors of the disclosing individuals at the request of the individual's dean, chair or supervisor, or at the request of the Conflict of Interests Committee. The individual's department chair, dean or supervisor will be provided with the management plan. There may be instances when other institutional officials must receive this information (e.g., members or staff of regulatory committees with oversight of activities covered in the management plan).

IV. Sanctions

Failure to comply with these policies includes failing to submit a required report disclosure, providing false information, omitting required information, failing to maintain confidentiality, failure to carry out duties prescribed by these policies, and refusal or failure to comply with a management plan adopted under these policies.

A failure to comply with these policies may, in the case of sponsored University research, result in a decision by the Vice President for Research to suspend the research project or refuse to approve a new sponsored University research project for the individual who fails to comply.

A failure to comply also is subject to the full range of University disciplinary procedures, including:

- a. Formal admonition.
- b. A letter in the individual's file indicating that the individual's good standing as a member of the University has been called into question.
- c. Ineligibility of the individual to apply for grants, IRB approval, or supervision of graduate or professional students or trainees.

d. Additional sanctions per research funding agency may apply (such as requiring investigator financial conflict of interest training), up to and including sponsor

suspension of funding per applicable federal regulations. The University will comply with federal financial conflict of interest requirements regarding non-compliance retrospective review and corrective action.

d-e. Non-renewal of appointment.

e-f. Termination of employment.

The person responsible for ensuring that an individual has complied with the University's Conflict of Interest and institutional conflict of interest policies Policy must report a failure to comply to the Conflict of Interest Office, which Interests Committee Chair or Staff, who refers it to the Conflict of Interest Interests Committee, except that a failure to comply by the President or a member of the Board of Trustees must be reported to the Audit Committee of the Board of Trustees.

The Conflict of Interest Interests Committee determines if the matter can be handled by requiring the individual to comply with a corrective action plan devised by the Conflict of Interest Interests Committee. If so, the Conflict of Interest Interests Committee devises the plan and advises the individual of its requirements. If the Conflict of Interest Interests Committee determines that the matter cannot be handled by requiring the individual to comply with a corrective action plan, or the individual refuses to comply, the Conflict of Interest Interests Committee refers the matter, along with its recommendations about how the matter should be handled, to the appropriate individual or body. In the case of faculty, the Conflict of Interest Interests Committee refers the matter to the Provost. In the case of the Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, and any other individual that the President designates as a senior "cabinet-level" official, the Conflict of Interest Interests Committee refers the matter to the President.

If an individual other than a non-faculty employee is dissatisfied with a determination of the Conflict of Interest Interests Committee to impose a corrective action plan or with administrative action by the Vice President for Research to suspend or refuse to approve a

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| sponsored ~~University~~ research project, the individual may submit a written appeal to the Provost within 10 days of receipt of the determination. A non-faculty employee who is dissatisfied with a determination of the Conflict of ~~Interest~~~~Interests~~ Committee may submit a written appeal to the Senior Vice President for Administration within 10 days of receipt of the decision.

| If the Provost upholds the Conflict of ~~Interest~~~~Interests~~ Committee's determination, the Provost's decision is final. If the Provost modifies or overrules the Conflict of ~~Interest~~~~Interests~~ Committee's determination, the Conflict of ~~Interest~~~~Interests~~ Committee may appeal to the President.

| If the Senior Vice President for Administration upholds the Conflict of ~~Interest~~~~Interests~~ Committee's determination, the decision of the Senior Vice President for Administration is final. If the Senior Vice President for Administration modifies or overrules the Conflict of ~~Interest~~~~Interests~~ Committee's determination, the Conflict of ~~Interest~~~~Interests~~ Committee may appeal to the President.

| Grievance proceedings are conducted in accordance with the procedures provided in ~~Chapter 3(H)(D)~~ of the University Faculty Handbook and ~~Section V-4~~ of the Human Resources Policy Manual.

| **V. Revisions to the Policies**

| Any revisions to these policies that are required by law or by government agency action ~~automatically will~~ become part of these policies. Other revisions to these policies become effective upon being approved by the President, the Provost, and the Executive Committee of the Faculty Senate.

Glossary

Definitions

“Disclosure” – “Disclosure” means an individual’s disclosure of financial interests and/or significant financial interests to the University.

“Faculty” – “Faculty,” as defined in the Faculty Handbook, comprises tenured or tenure track faculty members, non-tenure track faculty members, and special faculty members. Special faculty members are: 1) those persons holding part-time academic appointments, and 2) persons holding full-time academic appointments, but who have specific, limited responsibilities for the duration of a specific project, or for a limited duration. Examples of special appointments are faculty members hired for one semester, who teach one course on a repeated basis, who engage in clinical supervision only without other responsibilities to the University, or who are engaged in a specific project conducted outside the University.

“Financial conflict of interest” – report” - In the sponsored research context, this refers to the University’s financial conflict of interest report to the awarding component.

“Financial interest” – A “financial interest” includes means anything of monetary value, whether or not the value is readily ascertainable. Examples of financial interests include the following: income; honoraria; consulting fees; advisory board fees; membership on a speaker’s bureau; remuneration; gifts or other emoluments; “in kind” compensation; travel expenses and reimbursement, other than those paid for by the University- or its hospital affiliates, or reasonable travel expenses paid for participation in scholarly and academic endeavors and/or those described in the exclusions in Section I.C.3 of this policy; equity such as stock, stock options or other ownership interests, including equity that individuals covered by this policy know they will inherit; royalties; non-university grants; debts; loans; non-university contracts; licensing agreements; inventors’ shares; and a board or other position in the private sector (including nongovernmental organizations (NGOs)) with advisory or fiduciary duties, even if uncompensated. Disclosure of a board membership or other officer position involving advisory or fiduciary duties with any outside

entity is required where: 1) the individual receives compensation from the entity (i.e., salary or other remuneration; equity interest, such as stock, stock options or other ownership interest; or other compensation of monetary value); or 2) the board or officer position (whether compensated or uncompensated) is with a for-profit outside entity or with an outside entity (for-profit or non-profit) that has a vendor or sponsor relationship with the University or its clinical affiliates, to the best of the individual’s knowledge.

“Individual conflict of interest” – An outside interest that might adversely affect or appear to a reasonable person to adversely affect an individual’s judgment in carrying out University responsibilities, or that might adversely affect or appear to a reasonable person to adversely affect the University’s responsibility to the public, the safety of research subjects, or the integrity of research. For the purposes of research, a financial conflict interest means a significant financial interest that could directly and significantly affect the individual’s University responsibilities, and in the case of research, that could directly and significantly affect the design, conduct, or reporting of research.

“Institutional conflict of interest” -- An institutional conflict of interest arises when the financial interests of the University, or a University official acting within his or her authority on behalf of the University, may influence or appear to influence the research, education, clinical care, business transactions, or other activities of the University; when an individual covered by this policy receives a financial or other benefit from the use or disclosure of non-public information pertaining to the University; and when outside activities are inconsistent with an individual’s responsibilities to the University.

“Institutional responsibilities” – “Institutional responsibilities” are defined as those professional responsibilities that are conducted on behalf of the University. Examples of institutional responsibilities include: activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

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“Investigator” – “Investigator” means the principal investigator, Project Director, Principal Investigator and any other person who is significantly involved in and responsible for the design, conduct or reporting of research, or proposal for such funding, including the person’s spouse and dependent children and/or any other collaborators or consultants. The term also includes investigators working for subgrantees, contractors, subcontractors, and collaborators. See also the definitions provided in this policy for “Project Director/Principal Investigator” and “Senior/key personnel.”

“Travel expense disclosure” - Disclosure of travel expenses and reimbursement is required for travel that is not reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. Disclosure of the nature of the travel will be accomplished on the annual disclosure form.

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“Manage” – “Manage” means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflicts of interest, to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

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“Outside activities” — “Outside activities” include leadership participation in professional, community, or charitable activities, self-employment, participation in business partnerships, employment or consulting arrangements with entities other than the University, either compensated or uncompensated, and service on any board, including for-profit, non-profit, advisory, or honorary.

“Project Director/Principal Investigator” – These terms refer to the project director or principal investigator of a research project. See also the definitions provided in this policy for “Investigator” and “Senior/key personnel.”

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“Senior officials” – “Cabinet-level” officials of the University (comprising the President, Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, and any other individual that the President designates).

“Senior/key personnel” – These terms are used interchangeably to refer to the Project Director/Principal Investigator and any other senior or key personnel identified by the University on PHS-funded grant applications, progress reports, or any other reports to the PHS by the University. See also the definitions provided in this policy for “Investigator” and “Project Director/Principal Investigator.”

Charge to the Budget ~~Faculty Senate~~ Finance Committee***From the Constitution, Article VI., Sec. C., Par. 1-4:***

"Par. 1. The Budget ~~Faculty Senate~~ Finance Committee (~~FSFC~~) shall consist of one voting member elected by each constituent faculty budget committee for a term of not less than two years; three members of the University Faculty at-large, at least one of whom must be an elected member of the Faculty Senate; ~~the chair of the University Budget Committee ex officio~~; the chair of the Committee on Faculty Compensation *ex officio*; and such additional members *ex officio* as shall be specified in the Faculty Senate By-Laws. The at-large members shall be elected to serve overlapping three-year terms. One of the at-large members shall serve as the chair of the Budget Committee. Should the terms of senatorial ~~members~~ member of the Budget Committee ~~FSFC~~ Finance Committee extend beyond ~~their~~ his or her terms as an elected members of the Faculty Senate, ~~they~~ her or she shall complete their committee terms as non-senatorial members.

Par. 2. The Budget ~~FSFC~~ Finance Committee shall participate with the University Administration to assure that the budgetary goals and priorities are responsive to the academic plans.

Par. 3. ~~The FSFC~~ Finance Committee, as a representative body of the faculty, advises the Chief Financial Officer regarding all financial matters including but not limited to [a] operating plans, forecasts and review of results, [b] capital expenditures, [c] capital financing, debt ratings and use of endowment, [d] investment performance, and [e] financial integrity and audit. It receives regular reports from and provides input to the University Budget Committee on behalf of the faculty.

Par.4. The Budget ~~FSFC~~ Finance Committee shall review and report to the Senate on the adherence to budgetary priorities and the attainment of budgetary goals.

The Budget ~~FSFC~~ Finance Committee shall advise the Faculty Senate on the financial

Comment [EW1]: In the Constitution, under the heading "Faculty Senate Committees," where this committee and some others are described, none of the committees described include "Faculty Senate" in their title. Of course all committees are often referred to, in other correspondence, as the FACULTY SENATE Committee on Graduate Studies, etc. The Finance Committee will also be referred to this way, but it shouldn't be in the Constitution. We don't want it to be the only faculty senate committee in the Constitution with FACULTY SENATE in the title.

Comment [EW2]: None of the committees described in the Constitution or the Senate By-laws have the abbreviations included. Of course FSFC can be used as the abbreviation in correspondence.

feasibility of the University's current and planned educational programs, activities, and facilities, and their effect on the operating budget, capital requirements, and financial health of the University. The ~~Budget~~ **FSFC-Finance** ~~Committee~~ shall also advise the Faculty Senate on budgetary questions as they affect current and planned educational programs, activities, and facilities.

~~Par. 4. The members of the Budget~~ **FSFC** ~~Committee shall serve also as the elected faculty representatives of the University Budget Committee which reports to and advises the President in the preparation of the budget of the University."~~

From By-Laws of the Faculty Senate, VII., Item d., Par. 1-3:

"1) The membership and functions of the ~~Faculty Senate~~ **Faculty** ~~Budget Finance~~ **Senate Budget Finance** ~~Committee (FSFC)~~ shall be as provided in the Constitution, Article VI, Section C.

2) The Chair of the ~~Senate Budget~~ **Senate Budget** ~~FSFC-Committee~~ **FSFC** shall request the President to designate a deputy to sit with the Committee regularly and participate in its deliberations. In fulfillment of the functions of the ~~Senate Budget~~ **Senate Budget** ~~FSFC-Committee~~ **FSFC** specified in the Constitution, Article VI, Section C, Paragraph 3, the ~~Senate Budget~~ **Senate Budget** ~~FSFC-Committee~~ **FSFC** may request the President, or such deputy as the President may designate, to report directly to the Faculty Senate with respect to budgetary matters.

3) An elected faculty member of the ~~Budget~~ **Budget** ~~FSFC-Committee~~ **FSFC** may serve for a maximum of two immediately successive three-year terms and thereafter shall be eligible for re-election to the Committee only after the lapse of at least one year following the expiration of a continuous six-year period of service.

Proposed Operating Charge to the University Budget Committee (UBC)

The University Budget Committee (UBC) will serve as an advisory body to the Provost, Chief Financial Officer (CFO) and President, and is charged with the review of all budget assumptions and plans at all stages of the process both for administrative and support areas and for all academic units. This includes the

annual budget preparation and rolling three-year budget projections. The committee also recommends to the Provost and CFO changes in such matters as processes, rules and exemptions governing allocations, funding, initiatives, indirect cost recovery, and tuition sharing among and across the university and its constituent units. It will take a university rather than school viewpoint in all of its deliberations and recommendations. The Provost will make appointments to the UBC based on expertise and commitment. The UBC will provide reports to the Faculty Senate Finance Committee (FSFC) each semester which will be shared with the members of the Faculty Senate.

The UBC will have eleven members appointed by the Provost in consultation with the Chair of the Faculty Senate and the Chair of the FSFC. The membership will include seven tenured, full-time faculty members, one dean, a business officer selected from one of the eight schools, the Vice President for University Planning and the Vice President for Financial Planning. The faculty members will serve staggered terms of three (3) years. The dean and school business officer will serve staggered terms of two (2) years. The Vice Presidents will be permanent members. The Provost will designate one faculty member as Chair of the UBC.

2012-2013 Faculty Senate Committee Chair Nominees

COMMITTEE	NAME	TITLE	DEPARTMENT	EXPERIENCE
Budget	J.B. Silvers	Professor	Banking & Finance, WSOM	Chair 2010-present
Bylaws	David Singer	Professor	Mathematics, CAS	Chair 2000-2003, Chair 2011-present
Faculty Compensation	Nicholas Ziats	Associate Professor	Pathology, SOM	Chair spring 2011-present
Faculty Personnel	Patricia Higgins	Associate Professor	School of Nursing	Chair 2011-present
Graduate Studies	Martin Snider	Associate Professor	Biochemistry, SOM	Chair 2011-present
Information & Communication Technology	Ray Muzic	Associate Professor	Radiology, SOM	Chair 2011-present
Minority Affairs	Bonnie Richley	Assistant Professor	Organizational Behavior, WSOM	Member 2011-present
Nominating Committee	Simon Peck	Associate Professor	Marketing and Policy Studies, WSOM	Member 2011-present
Research	Matt Sobel	Professor & Chair	Operations, WSOM	Member 2010-present
Undergraduate Education	Christine Cano	Associate Professor	Modern Languages & Literature, CAS	Vice-chair 2011-present
Undergraduate Education Vice-Chair	Mark DeGuire	Associate Professor	Materials Science & Engineering, CSE	Co-chair, Academic Standing Subcommittee, 2011-present
University Libraries	Frank Merat	Associate Professor	Electrical Engineering and Computer Science, CSE	Member 2008-present
Women Faculty	Karen Farrell	Instructor	Physical Education & Athletics	Chair 2011-present

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CASE WESTERN RESERVE UNIVERSITY
POLICIES ON INDIVIDUAL CONFLICTS OF INTEREST AND
INSTITUTIONAL CONFLICTS OF INTEREST

Introduction

This document establishes policies on individual conflicts of interest and institutional conflicts of interest.

Research, scholarship, and other creative endeavors have enormous potential to benefit humankind, and the University strongly supports efforts to bring discoveries to society. The purpose of these policies is to protect the University, its faculty, non-faculty employees, students, and trainees, and human subjects and animals in research and to comply with applicable federal laws. The policies seek to accomplish this by striking the proper balance between, on the one hand, the goal of preserving academic freedom and encouraging outside scholarly and entrepreneurial activities by members of the University that enhance the prestige and reputation of the University and benefit society, and, on the other hand, the need to preserve the integrity of the University and its members and to fulfill the University's responsibilities to the public. In striking this balance, the interests of the public, the integrity of the University and its individual members, and the safety of research subjects always must be given priority.

These policies apply generally to the members of the Board of Trustees, all University officers, senior officials, faculty (whether or not engaged in research or other scholarly or creative endeavors), volunteer faculty at the School of Medicine engaged in research, post-doctoral fellows and scholars, non-faculty employees, students, and trainees. The specific policies cover specific types of individuals.

Availability of the Policy (a)

The University will maintain an up-to-date, written, enforced policy on financial conflicts of interest that complies with applicable regulations, including any federal financial conflict of interest regulations. The policy will be posted and available via a publicly accessible web site. The University will inform covered individuals of the policy and of their responsibilities regarding disclosure. The University will inform covered individuals in the event that the policy is revised and updated (a).

The University Conflict of Interests Committee

The members of the Conflict of Interests Committee, including the leadership of the committee, are appointed by the President and include faculty, non-faculty employees, and administrators. The Conflict of Interests Committee includes at least one member of the public who serves as a regular member of the Conflict of Interests Committee, and a second member of the public who serves as an alternate member of the Conflict of Interests Committee. The members of the public must not have any affiliation with the University (including as alumni, faculty, clinical faculty, adjunct faculty, or emeritus faculty) or with its affiliated hospitals (other than as patients). To the maximum extent possible, the members of the public must be independent of the line of authority for institutional oversight of research. A majority of the members of the Conflict of Interests Committee are members of the faculty as defined in Article I, sections (A) and (B) of the University Faculty Handbook, and one of these faculty members is appointed by the Executive Committee of the Faculty Senate. Membership also includes representatives from

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hospitals affiliated with the University. These members only participate in the resolution of conflicts of interest involving research.

Members of the Conflict of Interests Committee must recuse themselves from consideration of their own conflicts of interest, or institutional conflicts of interest that relate to their own conflicts of interest.

I. Individual Conflict of Interest Policy

A. Who is covered by this policy?

The conflict of interest policy applies to the members of the Board of Trustees; all University officers; senior (“cabinet-level”) officials of the University (comprising the President, Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, Inclusion and Equal Opportunity, and any other individual that the President designates); all University faculty except special faculty members who are not paid by the University, unless engaged in research; emeritus faculty who have an ongoing relationship with the University who are engaged in research; post-doctoral fellows; all employees; students; and trainees. “University faculty” are those individuals defined as in the Faculty Handbook.

This policy applies to these individuals regardless of where they conduct activities covered by the policy.

B. What is an individual conflict of interest?

An individual conflict of interest exists when an individual covered by this policy has a financial interest that might adversely affect or appear to a reasonable person to adversely affect the individual’s judgment in carrying out University responsibilities, or that might adversely affect or appear to a reasonable person to adversely affect the University’s responsibility to the public, the

safety of research subjects, or the integrity of research.

C. Disclosure

“Disclosure” – “Disclosure” means an individual’s disclosure of financial interests and/or significant financial interests to the University (a).

The disclosure requirements under this policy are broad, in order to provide adequate protection for individuals covered by the policy, the University and affiliated institutions, and the public interest. It is important to recognize that a disclosure requirement does not indicate that the activity in question is in any way objectionable; indeed, disclosure is required in connection with many activities in which members of the University are expected to engage, such as funded research, or that are otherwise praiseworthy, such as the receipt of honorary awards.

1. Who must disclose?

The following individuals must disclose under this policy: the members of the Board of Trustees; all University officers and senior officials, as defined in section I(A) of this policy; all University faculty (whether or not engaged in research), except special faculty members who are not paid by the University, unless engaged in research; emeritus faculty/key personnel and other individuals who contribute to the scientific development or execution of a research project in a substantive way, and any other employees at the request of their supervisor. Individuals who have no disclosable interests must still submit an annual disclosure form to be in compliance with this policy (b).

Students and post-doctoral fellows and scholars do not have to disclose unless they contribute to the scientific development or execution of a research project in a substantive way.

2. What activities must be disclosed?

Individuals covered by this policy must disclose any financial interest (defined in the attached

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Definitions (a) and the acceptance of any gifts, favors, or anything of value, by the individual or the individual's spouse, dependent children, domestic partner, or any other dependent person who is a member of the same household as the individual, that directly or indirectly might influence or appear to a reasonable person to influence the individual's responsibilities as a member of the University.

Individuals covered by this policy who engage in research must disclose any financial interest, no matter how small, that the individual or the individual's spouse, dependent children, domestic partner, or any other dependent person living in the same household as the individual, has in any entity that sponsors or supports the research or that holds a financial interest in the subject of the research, and also must disclose the acceptance of any gift, favor, or anything of value from an entity that sponsors the research or that holds a financial interest in the subject of the research.

Individuals covered by this policy also must disclose whenever a previously disclosed conflict of interest is eliminated.

Whenever an individual covered by this policy has any doubt about whether or not an activity must be disclosed, the individual should disclose the activity.

3. What activities are permitted without disclosure?

Certain activities may be engaged in without disclosure. Typically, these are activities not covered in section 2 above, and in which academics routinely engage and in which an individual's financial interests are not expected to influence his/her (c.) judgment. Disclosure is also not required for salary, royalties or other remuneration paid by the University to the individual if the individual is currently employed or otherwise appointed by the University (a).

Examples of activities in which individuals may engage without disclosure include:

Receiving royalties for published scholarly work and other writings.

Accepting reasonable meals and other customary business amenities (such as pads and pens) that are provided as part of a seminar, course, meeting, or other business-related gathering.

Honoraria for reviewing scholarly manuscripts for publication by academic journals or presses.

Travel that is reimbursed or sponsored by a federal, state or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles.

Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education (a).

Royalties or other payments extending from intellectual property rights assigned to University, and agreements to share in royalties or other payments related to such rights (a).

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Grants and contracts administered through the University.

Whenever an individual has any doubt about whether or not an activity must be disclosed, the individual should disclose the activity.

4. How is disclosure to be made and to whom?

All members of the University community are covered by the COI policy, but disclosure requirements vary according to the individual's role(s) with the University.

Generally, annual disclosure is made to the Conflict of Interests Committee using the form provided by the University.

Members of the Board of Trustees, the President, and other senior officials disclose using a separate process administered by the Office of the General Counsel.

Those staff members and other individuals who are not required to complete an annual disclosure form must disclose to their supervisors any financial interest that relates to their University responsibilities. Supervisors who determine that an individual may have a conflict of interest must report this to the Conflict of Interests Committee for further review.

Compliance with this policy does not relieve the individual from complying with pertinent regulatory committee disclosure requirements. (b).

5. When is disclosure to be made?

Disclosure must occur at least annually in accordance with the time period prescribed by the University. For those who are listed on sponsored projects, disclosure must occur no later than the time of funding application (b). Individuals also must disclose, as appropriate, within 30 (a.) days of discovering or acquiring a disclosable interest or within 30 days after a financial (b.) interest has been eliminated (a).

Individuals who have been recruited to the University must disclose any conflicts of interest sufficiently in advance of their start date that the conflicts can be reviewed and resolved by the Conflict of Interests Committee prior to their start date.

Disclosure or confirmation/updating of previously disclosed information also (c) is required at the time a research proposal is submitted on the electronic University Review Form, and when a research proposal is submitted to relevant review bodies as required (c).

D. Review

1. What is the process?

The Conflict of Interests Committee Chair and Staff, or the Office of General Counsel Staff (b), conducts an initial review of all the disclosures they receive (b).

If necessary, they obtain additional information from the disclosing individual and from other individuals who possess relevant information. The Conflict of Interests Committee Chair and Staff, or the (b.) Office of the General Counsel Staff, as appropriate, notifies the Conflict of Interests Committee or the Board of Trustees, respectively, of those activities that must be further reviewed (b).

The Conflict of Interests Committee reviews all disclosures to determine whether the disclosed financial interests are significant, whether they are related to the individual's University responsibilities, and whether a management plan is required. Reviews of individual disclosures conducted solely by the Audit Committee of the Board of Trustees are conducted according to the rules of the Board of Trustees (b).

In conducting review, the Conflict of Interests Committee considers a number of factors, including the value of the individual's financial interest; and in the case of research, whether the individual is uniquely qualified by virtue of expertise and experience to conduct the research project, whether the research could not be

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conducted as safely or effectively without that individual, and the degree of risk imposed on research subjects.

Following are some examples of conflicts of interest. In specific cases, individuals may be able to engage in some of these activities with a suitable management plan:

- a. While serving as an investigator on a research project that relates to a company's products, an individual is receiving consulting fees from and has equity in the company.
- b. An individual manages the renovation of departmental offices and participates in the selection of an architectural firm in which his spouse is a partner.
- c. A faculty member with a financial interest in an outside company serves as the direct academic supervisor of a university student employed by that company.
- d. While serving on the board of directors of a business, an individual acts as an investigator on research sponsored by the business.
- e. An individual makes referrals to a business in which he or she has a financial interest. Section Modified (b).

2. Management

The Conflict of Interests Committee may decide to approve an activity subject to a suitable management plan.

To "manage" means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflicts of interest, and, in the case of conflicts of interest involving research, to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias (a).

The management plan may include but is not limited to:

- a. Requiring the individual to recuse him/herself from particular business decisions.
- b. Requiring the individual to inform certain persons or institutions about the conflict of interest and the management plan (such as the relevant review bodies, as required (b); state and federal officials; research sponsors; co-investigators; colleagues; junior colleagues; students; trainees; members and prospective members of the individual's research laboratory; journals to which manuscripts about the research are submitted; and media, lay, and professional audiences with whom the research or other activity is discussed orally or in writing).
- c. Requiring the individual to refrain from participating in certain activities or aspects of activities relating to the research project (such as requiring IRB members with conflicts of interest in connection with research protocols to recuse themselves from deliberations on those protocols, or, where compelling circumstances exist to allow certain research stages or activities to proceed despite a conflict of interest, restricting the individual's roles to those stages and activities, including establishing a point in time for stopping participation and strategies to keep the individual's involvement at a minimum).
- d. Requiring the activity to be approved by additional individuals or entities (such as deans, department chairs, or program chairs).
- e. Requiring others to review academic decisions in which the individual participates.
- f. Requiring independent involvement in the research (such as in recruiting and selecting subjects, participating in or designing the consent process, providing clinical treatment

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to subjects apart from the research intervention or procedures, monitoring data, reviewing study design, collecting data, and determining authorship status or order).

- g. Requiring the individual to reduce, modify, or eliminate a financial interest (including divesting ownership, restricting the sale or exercise of stock and stock options, and deferring or waiving royalties or milestone payments).
- h. Requiring the individual to vacate a position.
- i. Prohibiting the individual from disclosing confidential institutional information or channeling discoveries to an outside entity.
- j. Prohibiting the research from taking place at the University.
- k. Requiring continued oversight of the activity by the Conflict of Interests Committee.

Management plans are developed according to the nature of the significant financial interest and of the related University activity, --e.g., whether there is an institutional as well as an individual conflict of interest, and whether the investigator is conducting research.

Section Deleted and Modified (b.)

The COI Committee may involve the individual in the conflict of interest assessment. If the COI Committee determines a management plan is required, then upon finalizing the management plan, the COI Committee will provide the management plan to the individual and inform the individual that the management plan is in effect (a).

E. Training

The University will comply with federal financial conflict of interest regulations regarding providing training on requirements, including disclosure requirements for

investigators applying for and engaged in PHS-funded research (a).

F. Reporting (a)

The University will comply with federal regulations regarding reporting of financial conflicts of interest, e.g., by submitting financial conflict of interest reports to the awarding component, as required.

The University will comply with federal financial conflict of interest regulations regarding making publicly available information on identified financial conflicts of interest held by investigators and key personnel on PHS-sponsored research (b).

G. Subrecipient Reporting

The University will comply with federal conflict of interest regulations regarding subrecipient agreements, including for PHS-funded awards (a).

H. Record Keeping

The University with federal regulations regarding maintaining records relating to all disclosures of financial interests and the University's review of, and response to, such disclosures (a).

I. Appeals

If an individual covered by this policy who is a faculty member is dissatisfied with a determination of the Conflict of Interests Committee, the individual may submit a written appeal to the Provost within 10 days of receipt of the decision. The appeal shall be decided by the Provost or his/her designee. The Provost or his/her designee will make best efforts to render a (c) decision in writing within 30 days of receipt of the appeal (b). If the Provost upholds the Conflict of Interests Committee's determination, the Provost's decision is final. If the Provost modifies or overrules the Conflict of Interests Committee's determination, the Conflict of Interests Committee may appeal to the President.

Key:

- a. **Changed to comply with 2011 DHHS Final Rule**
- b. **Changed for factual accuracy/consistency**
- c. **Changed for clarity**

A non-faculty employee who is dissatisfied with a determination of the Conflict of Interests Committee may submit a written appeal to the Senior Vice President for Administration within 10 days of receipt of the decision. **The appeal shall be decided by the Senior Vice President or his/her designee. The Senior Vice President or his/her designee will make best efforts to render a decision in writing within 30 days of receipt of the appeal (c).** If the Senior Vice President for Administration upholds the Conflict of Interests Committee's determination, the decision of the Senior Vice President for Administration is final. If the Senior Vice President for Administration modifies or overrules the Conflict of Interests Committee's determination, the Conflict of Interests Committee may appeal to the President.

If the individual is the President, the President may submit a written appeal to the Audit Committee of the Board of Trustees within 10 days of receipt of the decision.

If the individual is a member of the Board of Trustees, the appeal is conducted in accordance with the policies and procedures of the Board of Trustees.

Section Deleted and Modified (b)

II. Institutional Conflict of Interest Policy

A. Who is covered by this policy?

This institutional conflict of interest policy applies to the members of the Board of Trustees, the President, the Provost, all senior ("cabinet-level") officials of the University (comprising the President, Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, and any other individual that the President designates), vice presidents, vice provosts, deputy provosts, deans, associate and vice deans, department chairs, academic division chiefs, directors of department-level centers, IRB chairs, the chair of the Conflict of Interests

Committee, the chair of the Institutional Biosafety Committee, and directors of institutes and centers with department-level status.

B. What is an institutional conflict of interest?

An institutional conflict of interest arises when the financial interests of the University, or of a University official acting within his/her authority on behalf of the University, may influence or appear to influence the research, education, clinical care, business transactions, or other activities of the University. In the case of research, the concern is that the financial interests of the University, or of a University official acting within his/her authority on behalf of the University, might affect—or reasonably appear to affect—University processes for the conduct, review, or oversight of the research.

An institutional conflict of interest also might arise when an individual covered by this policy receives a financial or other benefit from the use or disclosure of non-public information pertaining to the University.

Institutional conflicts of interest may arise when outside activities are inconsistent with an individual's responsibilities to the University. Outside activities include leadership participation in professional, community, or charitable activities, self-employment, participation in business partnerships, employment or consulting arrangements with entities other than the University, either compensated or uncompensated, and service on any private-sector board, including for-profit, non-profit, advisory, or honorary. These activities are inconsistent with an individual's responsibilities to the University when they adversely influence or appear to adversely influence the research, education, clinical care, business transactions, or other activities of the University.

An individual conflict of interest may raise an institutional conflict of interest issue and vice versa.

C. Disclosure

Key:

- a. Changed to comply with 2011 DHHS Final Rule**
- b. Changed for factual accuracy/consistency**
- c. Changed for clarity**

There is no separate individual disclosure under the institutional conflict of interest policy. The information disclosed on individual conflict of interest forms is used in carrying out the institutional conflict of interest policy.

In addition, the Conflict of Interests Committee periodically must receive the following information:

1. From the Senior Vice President of Finance and Chief Financial Officer, a list of the entities in which the University has any financial interest.
2. From the Board of Trustees, a list of the entities in which members of the Board of Trustees and senior officials of the University, their spouses, dependent children, domestic partners, or any other dependent person living in the same household as the individual, have any financial interest. The list of entities provided by the Audit Committee of the Board of Trustees to the Conflict of Interests Committee does not contain the identities of the individuals who have the financial interest in those entities.
3. From the Office of Development, a list of major gifts to the University.
4. From the Office of Research and Technology Management, a list of the University's equity holdings and technology licenses.

D. Review

1. What is the process (c)?

Reviews of individual disclosures conducted solely by the Audit Committee of the Board of Trustees are conducted according to the rules of the Board of Trustees.

In the case of all other individual disclosures, the Conflict of Interests Committee Chair and Staff, or the Office of General Counsel Staff (b)

conducts an initial review. If necessary, they obtain additional information from the disclosing individual and from other individuals who possess relevant information.

The Conflict of Interests Committee Chair and Staff utilize information provided by the offices and departments of the institution (e.g., from the Senior Vice President of Finance and Chief Financial Officer, the Board of Trustees, the Office of Development, and the Office of Research and Technology Management) to review potential institutional conflicts of interest received (c).

The Conflict of Interests Chair and Staff then identify those activities that must be further reviewed by the Conflict of Interests Committee. The Conflict of Interests Committee will review the disclosures it receives to determine whether the disclosed financial interests of institutional officials or of the University are significant and whether they are related to University activities, and, if so, whether management is required to manage the institutional conflict of interest.

In conducting review, the Conflict of Interests Committee considers a number of factors, including value of the institutional financial interest and the nature of related University activities (b).

Following are some examples of institutional conflicts of interest. In specific cases, individuals may be able to engage in some of these activities with a suitable management plan:

- a. A vice president of the University signs off on a procurement decision involving major purchases from or supply contracts with a commercial entity of which he is a director.
- b. A department chairman serves as an investigator in a research project sponsored by a company from which she receives consulting income.
- c. As patent-holder, the University stands to gain royalties from intellectual

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- property licensed to a company, and that intellectual property is being investigated under a research contract with the University.
- d. A company that has made a major gift to the University has requested special consideration in the bidding process as a vendor. The individual considering the bid is a consultant for the company.
- e. A start-up company partially owned by the University has requested a discounted rate in utilizing several University core facilities. The facilities are overseen by an individual who is the chief scientific officer of the company. **Section Modified (b).**

2. Management

The Conflict of Interests Committee may decide to approve an activity subject to a suitable management plan. The management plan may include:

- a. Isolating the individual from involvement in research or decision-making regarding research.
- b. Requiring the individual to reduce, modify, defer, waive, or eliminate the financial interest that is the source of the conflict, such as equity holdings, royalty income, stock options and milestone payments.
- c. If recusal would preclude the individual from fulfilling the responsibilities of a University position, requiring the individual to eliminate the holdings or vacate the position.
- d. Requiring the individual to recuse him- or herself from institutional decisions regarding the outside entity that is source of conflict.
- e. Requiring the individual to make periodic written disclosure of the conflict to all administrators, faculty, non-faculty

- employees, and students under individual's supervision, to Research Administration (c), IRBs, IACUCs, subjects, state and federal officials, research sponsors, co-investigators, colleagues, junior colleagues, students, trainees, members and prospective members of the individual's research laboratory, journals to which manuscripts about the research are submitted, and media, lay, and professional audiences with whom the research or other activity is discussed orally or in writing.
- f. Appointing independent individuals or committees to oversee high-level administrative decisions (e.g., financial decisions, space allocations, appointments and promotions) in which the individual participates.
- g. Prohibiting the research from taking place at the University.
- h. Eliminating, reducing, or modifying the University's financial stake in an outside entity or research project.
- i. Enhancing or creating firewalls or other conflict-management systems to separate financial and research decision-making.
- j. Requiring independent involvement in the research (such as in recruiting and selecting subjects, participating in or designing the consent process, providing clinical treatment to subjects apart from the research intervention or procedures, monitoring data, reviewing study design, collecting data, and determining authorship status or order).
- k. Preventing the individual from serving as the principal investigator, co-principal investigator, or investigator on the research project.
- l. Protecting students, trainees, junior colleagues and/or non-faculty employees by preventing or limiting their participation in the research project, preventing or limiting them from working in newly-formed

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companies involving conflicted superiors, informing them of the potential conflict, giving them access to senior faculty and non-faculty employees to review questions or concerns, having academic decisions outside the research activity made or reviewed by independent individuals, and recusing the conflicted individual from the chain of authority over salary, promotion, and space allocation decisions.

- m. Prohibiting the individual from participating in institutional negotiations with the outside entity except as the University directs.
- n. Prohibiting the individual from serving on the board of directors of the outside entity, or as an officer, member of the scientific advisory board, member of a speakers' bureau, or consultant.
- o. Prohibiting the individual from disclosing confidential University information.
- p. Prohibiting the individual from channeling discoveries to the outside entity.
- q. Prohibiting the individual from accepting research grants from companies founded by the individual.

Selection Deleted (b)

E. Appeals

When an individual has an individual conflict of interest and an institutional conflict of interest also exists (b.), the appeal process under the individual conflict of interest policy applies.

In the event that an individual who is charged with executing an institutional conflict of interest management plan but who (b) does not have an individual conflict of interest is dissatisfied with a determination of the Conflict of Committee, the individual may submit a written appeal to the President within 10 days of receipt of the decision. If the individual is the President, the President may submit a written appeal to the Audit Committee of the Board of Trustees within

10 days of receipt of the decision. If the individual is a member of the Audit Committee, the Audit Committee's deliberations and decision is conducted in accordance with the policies and procedures of the Board of Trustees.

If the President or the Audit Committee upholds the Conflict of Interests Committee's determination, the decision is final. If the President modifies or overrules the Conflict of Interests Committee's determination, the Conflict of Interests Committee may appeal to the Audit Committee.

III. Confidentiality

All information contained in disclosures or obtained in the course of reviewing a potential conflict of interest or institutional conflict of interest, is kept confidential, subject to the University's reporting obligations to government agencies, research sponsors and the public (a). The information is available to the Conflict of Interests Committee and its staff, and to the individuals charged with the responsibility for review in the particular case. In addition, the disclosures received by the Conflict of Interests Committee are shared with the deans and department chairs or supervisors of the disclosing individual's department chair, dean or supervisor will be provided with the management plan. There may be instances when other institutional officials must receive this information (e.g., members or staff of regulatory committees with oversight of activities covered in the management plan) (b).

IV. Sanctions

Failure to comply with these policies includes failing to submit a required disclosure, providing false information, omitting required information, failing to maintain confidentiality, failure to carry out duties prescribed by these policies, and refusal or failure to comply with a management plan adopted under these policies.

A failure to comply with these policies may, in the case of research, result in a decision by the Vice President for Research to suspend the

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research project or refuse to approve a new research project for the individual who fails to comply.

A failure to comply also is subject to the full range of University disciplinary procedures, including:

- a. Formal admonition.
- b. A letter in the individual's file indicating that the individual's good standing as a member of the University has been called into question.
- c. Ineligibility of the individual to apply for grants, IRB approval, or supervision of graduate or professional students or trainees.
- d. Additional sanctions per research funding agency may apply (such as requiring investigator financial conflict of interest training), up to and including sponsor suspension of funding per applicable federal regulations. The University will comply with federal financial conflict of interest requirements regarding non-compliance retrospective review and corrective action (a).**
- e. Non-renewal of appointment.
- f. Termination of employment.

The person responsible for ensuring that an individual has complied with the University's Conflict of Interest Policy (b) must report a failure to comply to the Conflict of Interests Committee Chair or Staff (b), who refers it to the Conflict of Interests Committee, except that a failure to comply by the President or a member of the Board of Trustees must be reported to the Audit Committee of the Board of Trustees.

The Conflict of Interests Committee determines if the matter can be handled by requiring the individual to comply with a corrective action plan devised by the Conflict of Interests Committee. If so, the Conflict of Interests Committee devises the plan and advises the

individual of its requirements. If the Conflict of Interests Committee determines that the matter cannot be handled by requiring the individual to comply with a corrective action plan, or the individual refuses to comply, the Conflict of Interests Committee refers the matter, along with its recommendations about how the matter should be handled, to the appropriate individual or body. In the case of faculty, the Conflict of Interests Committee refers the matter to the Provost. In the case of the Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, and any other individual that the President designates as a senior "cabinet-level" official, the Conflict of Interests Committee refers the matter to the President.

If an individual other than a non-faculty employee is dissatisfied with a determination of the Conflict of Interests Committee to impose a corrective action plan or with administrative action by the Vice President for Research to suspend or refuse to approve a research project, the individual may submit a written appeal to the Provost within 10 days of receipt of the determination. A non-faculty employee who is dissatisfied with a determination of the Conflict of Interests Committee may submit a written appeal to the Senior Vice President for Administration within 10 days of receipt of the decision.

If the Provost upholds the Conflict of Interests Committee's determination, the Provost's decision is final. If the Provost modifies or overrules the Conflict of Interests Committee's determination, the Conflict of Interests Committee may appeal to the President.

If the Senior Vice President for Administration upholds the Conflict of Interests Committee's determination, the decision of the Senior Vice President for Administration is final. If the Senior Vice President for Administration modifies or overrules the Conflict of Interests Committee's determination, the Conflict of Interests Committee may appeal to the President.

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Grievance proceedings are conducted in accordance with the procedures provided in the University Faculty Handbook and the Human Resources Policy Manual.

V. Revisions to the Policies

Any revisions to these policies that are required by law or by government agency action will become part of these policies. Other revisions to these policies become effective upon being approved by the President, the Provost, and the Executive Committee of the Faculty Senate.

Definitions

“Disclosure” – “Disclosure” means an individual’s disclosure of financial interests and/or significant financial interests to the University (a).

“Faculty” – “Faculty,” as defined in the Faculty Handbook, comprises tenured or tenure track faculty members, non-tenure track faculty members, and special faculty members. Special faculty members are: 1) those persons holding part-time academic appointments, and 2) persons holding full-time academic appointments, but who have specific, limited responsibilities for the duration of a specific project, or for a limited duration. Examples of special appointments are faculty members hired for one semester, who teach one course on a repeated basis, who engage in clinical supervision only without other responsibilities to the University, or who are engaged in a specific project conducted outside the University.

“Financial conflict of interest report” - In the sponsored research context, this refers to the University’s financial conflict of interest report to the awarding component (a).

“Financial interest” – A “financial interest” means anything of monetary value, whether or not the value is readily ascertainable. Examples of financial interests include the following (a): income; honoraria; consulting fees; advisory board fees; membership on a speaker’s bureau;

remuneration; gifts or other emoluments; “in kind” compensation; travel expenses and reimbursement (b), other than those paid for by the University or its hospital affiliates, or reasonable travel expenses paid for participation in scholarly and academic endeavors and/or those described in the exclusions in Section I.C.3. of this policy (c); equity such as stock, stock options or other ownership interests, including equity that individuals covered by this policy know they will inherit; royalties; non-university grants; debts; loans; non-university contracts; licensing agreements; inventors’ shares board membership or other officer position with any entity outside of the University or its clinical affiliates, with advisory or fiduciary duties, even if uncompensated (c).

“Individual conflict of interest” – An outside interest that might adversely affect or appear to a reasonable person to adversely affect an individual’s judgment in carrying out University responsibilities, or that might adversely affect or appear to a reasonable person to adversely affect the University’s responsibility to the public, the safety of research subjects, or the integrity of research. For the purposes of research, a financial conflict interest means a significant financial interest that could directly and significantly affect the individual’s University responsibilities, and in the case of research, that could directly and significantly affect the design, conduct, or reporting of research (b).

“Institutional conflict of interest” -- An institutional conflict of interest arises when the financial interests of the University, or a University official acting within his/her authority on behalf of the University, may influence or appear to influence the research, education, clinical care, business transactions, or other activities of the University; when an individual covered by this policy receives a financial or other benefit from the use or disclosure of non-public information pertaining to the University; and when outside activities are inconsistent with an individual’s responsibilities to the University.

“Institutional responsibilities” – “Institutional responsibilities” are defined as those professional

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responsibilities that are conducted on behalf of the University. Examples of institutional responsibilities include: activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards (a).

“Investigator” – “Investigator” means the and any other person who is significantly involved in and responsible for the design, conduct or reporting of research, or proposal for such funding, including the person’s spouse and dependent children and/or any other collaborators or consultants. The term also includes investigators working for subgrantees, contractors, subcontractors, and collaborators. See also the definitions provided in this policy for “Project Director/Principal Investigator” and “Senior/key personnel (a).”

“Manage” – “Manage” means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflicts of interest, to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias (a).

“Outside activities” – “Outside activities” include leadership participation in professional, community, or charitable activities, self-employment, participation in business partnerships, employment or consulting arrangements with entities other than the University, either compensated or uncompensated, and service on any board, including for-profit, non-profit, advisory, or honorary.

“Project Director/Principal Investigator” – These terms refer to the project director or principal investigator of a research project. See also the definitions provided in this policy for “Investigator” and “Senior/key personnel (a).”

“Senior officials” – “Cabinet-level” officials of the University (comprising the President, Provost, General Counsel, Senior Vice President for Administration, Chief Financial Officer, Vice

President for Medical Affairs, the Chief of Staff, the vice presidents for Development, University Relations, and Diversity, and any other individual that the President designates).

“Senior/key personnel” – These terms are used interchangeably to refer to the (a) Director/Principal and any other senior or key personnel identified by the University on PHS-funded grant applications, progress reports, or any other reports to the PHS by the University. See also the definitions provided in this policy for “Investigator” and “Project Director/Principal Investigator (a).”

“Travel expense disclosure” - Disclosure of travel expenses and reimbursement is required for travel that is not reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. Disclosure of the nature of the travel will be accomplished on the annual disclosure form (a).

Summary of Suggested Changes to CWRU COI Policy

Key:

- a. Changed to comply with 2011 DHHS Final Rule**
- b. Changed for factual accuracy/consistency**
- c. Changed for clarity/Requested by Faculty Senate Bylaws Subcommittee**

Summary of changes

Note: Minor spelling, grammatical, typographical and formatting changes are not captured as part of this summary, but have been corrected for readability, clarity and consistency.

1. New Section: Availability of Policy, page 1.

Added section on posting and availability of the policy, per DHHS Final Rule (a.).

2. Section: The University Conflict of Interests Committee, page 1 and throughout document.

The name of the review committee had been changed from, “Conflict of Interest Committee” to, “Conflict of Interests Committee.” (c.)

3. Section I. A. Who is covered by this policy?, page 2.

Added language for applicability, per DHHS Final Rule (a.).

Modified language at request of Faculty Senate Bylaws Subcommittee (c.).

4. Section I. C. Disclosure, page 2 and throughout the document.

“Disclose(d/s)/disclosure(s)/disclosing” replaces “report(ed/s)/reporting” to reflect utilization of terminology in DHHS Final Rule. Definition adapted from DHHS Final Rule appears as added language to this section (a.).

5. Section I. C.1. Who must disclose?, page 2.

For consistency, moved from section I.C.5. When is disclosure to be made? (b.).

6. Section I.C.2. What activities must be disclosed?, page 3.

“Definition(s)” replaces “Glossary” to reflect utilization of terminology in DHHS Final Rule (a.).

7. Section I.C.3. What activities are permitted without disclosure?, page 3.

Summary of Suggested Changes to CWRU COI Policy

Language modified for clarity. (c.)

8. Section I.C. 3. What activities are permitted without disclosure?, pages 3-4.

Language regarding travel was moved or modified. Language regarding income was added. Changes per exclusions in DHHS Final Rule (a.).

9. Section I.C.4 How is disclosure to be made and to whom?, page 4.

Description of the disclosure process modified and adjusted for factual accuracy/consistency with current procedure (b.).

10. Section I.C.5 When is disclosure to be made?, page 4.

Description of the disclosure timeline modified and adjusted for factual accuracy/consistency with current procedure (b.).

Disclosure period changed from 10 days to 30 days per DHHS Final Rule (a.).

Information regarding confirmation/updating of previous disclosure added for clarity (c.).

11. Section I.D.1 What is the process?, pages 4-5.

Addition of detail and description of the disclosure process in this section was modified and adjusted for factual accuracy/consistency with current procedure (b.).

Modified language at request of Faculty Senate Bylaws Subcommittee (c.).

Note: Many examples of activities that could represent individual conflicts of interest were deleted from this revision. The revised examples have been reviewed and modified for accuracy and consistency. These examples are also incorporated into a companion document (i.e. definitions/frequently asked questions) (b.).

12. Section I.D.2 Management, page 5.

Added language for applicability, per DHHS Final Rule (a.).

13. Section I.D.2 Management, pages 5-6.

Language deleted, modified and adjusted for factual accuracy/consistency with current procedure (b.).

Modified from original document to cover DHHS Final Rule definition of research (a.).

Summary of Suggested Changes to CWRU COI Policy

Confirmation of acceptance by Investigator will be documented, as per DHHS Final Rule (a.).

Details of process and procedure will be addressed in a companion document (e.g. Standard Operating Procedures) (c.).

14. Section I. E. Training, G. Subrecipient Reporting, and H. Record Keeping, page 6.

Added language for applicability, per DHHS Final Rule (a.).

Training description includes modified language at request of Faculty Senate Bylaws Subcommittee (c.).

15. Section I. F. Reporting, page 6.

Section moved from Section I.C.5. (b.) and edited per DHHS Final Rule (a.).

16. Section I. I. Appeals, pages 6-7.

Language modified and adjusted for clarity (c.).

Modified language at request of Faculty Senate Bylaws Subcommittee (c.).

Language modified and adjusted for factual accuracy/consistency with current procedure (b.).

Language deleted, modified and adjusted for factual accuracy/consistency with current procedure. The modified language now appears in Section III. Confidentiality (b.).

17. Section II. D.1. Review, pages 8-9.

Language modified and adjusted for clarity (c.).

Language deleted, modified and adjusted for factual accuracy/consistency with current procedure (b.).

Note: Many examples of activities that could represent institutional conflicts of interest were deleted from this revision. The revised examples have been reviewed and modified for accuracy and consistency. These examples are also incorporated into a companion document (i.e. definitions/frequently asked questions) (b.).

18. Section II. D.2. Management, pages 9 -10.

Language modified and adjusted for clarity (c.).

Summary of Suggested Changes to CWRU COI Policy

Language deleted, modified and adjusted for factual accuracy/consistency with current procedure (b.).

19. Section II. E. Appeals, page 10.

Language modified and adjusted for factual accuracy/consistency with current procedure (b.).

Modified language at request of Faculty Senate Bylaws Subcommittee (c.).

20. III. Confidentiality, page 10.

Added language for applicability, per DHHS Final Rule (a.).

Language added for factual accuracy/consistency with current procedure (b.).

21. IV. Sanctions, pages 10-11.

Added language for applicability, per DHHS Final Rule (a.).

Language added for factual accuracy/consistency with current procedure (b.).

22. Definitions, pages 12-13.

Additional language and new definitions added to cover DHHS Final Rule definitions. Previous definition of "Investigator" was modified to cover DHHS Final Rule definitions (a.).

Language modified and adjusted for clarity (c.).

Language added for factual accuracy/consistency with current procedure (b.).

Modified definition of financial interests language at request of Faculty Senate Bylaws Subcommittee (c.).

Faculty Handbook, Chapter Three, Part I, Article I, Sec. E. Tenure

1. Academic tenure is an essential component of the development and delivery of quality educational and research programs at the University. The basic purpose of tenure is to provide the assurance of academic freedom throughout the University. Another important purpose of tenure is to attract and retain outstanding faculty. Tenured faculty members are protected explicitly against dismissal or disciplinary action because their views are unpopular or contrary to the views of others. Their non-tenured colleagues derive protection by general extension of these principles of academic freedom.

2. When awarded, academic tenure rests at the constituent faculty level rather than at the departmental level. The award of academic tenure to a faculty member is a career commitment which grants that faculty member the right to retain his or her appointment without term until retirement. The appointment of a tenured faculty member may be terminated only for just cause. In the event that a tenured faculty member's school, department, or other unit of the University in which the faculty member's primary appointment rests is closed or reduced in size, the University shall nevertheless make all reasonable attempts to provide a tenured faculty member with an appointment of unlimited duration until retirement.

3. Examples of just cause for the termination of tenured, tenure track, and non-tenure track faculty members include (i) grave misconduct or serious neglect of academic or professional responsibilities, defined in Section IV, Professional Responsibilities, as determined through a fair hearing under Section IV.D; (ii) educational considerations, as determined by a majority vote of the entire constituent faculty of the affected individual, which lead to the closing of the academic unit of the University, or a part thereof, in which the faculty member has a primary appointment; and (iii) financial exigent circumstances which force the University to reduce the size of a constituent faculty of the University in which the faculty member has a primary appointment. Unless educational considerations also exist, a tenured faculty member may be terminated for financial exigent circumstances only after all faculty members who are not tenured in that constituent faculty have been terminated, in the order determined by the by-laws of the constituent faculty. Terminations of non-tenured faculty for financial exigency shall occur with at least twelve months notice or at the end of the current appointment term, whichever occurs earlier. In order for a tenured faculty member to be terminated prior to all non-tenured faculty members in that constituent faculty, a majority of the voting members of the constituent faculty in which the affected tenured faculty member has his or her primary appointment must determine that a financial exigency and educational considerations exist sufficient to justify that action. Under items (ii) or (iii), just cause would be presumed not to have existed if new faculty members were appointed to fulfill the functions of recently terminated faculty.

4. The termination of tenured faculty is considered to be an extreme and extraordinary occurrence. Termination of tenured faculty shall not be made on the basis of short-term, cyclical changes in student enrollment and shall not be arbitrary, capricious, or punitive. The termination

of tenured faculty or the closing of a department or school because of educational considerations must reflect long-range judgments that the educational mission of the constituent faculty or the institution as a whole will be jeopardized unless the proposed action is taken. Tenured faculty can be terminated because of financial exigency only after all reasonable attempts to resolve the difficulty have failed. Financial exigent circumstances must be factually established and demonstrably bona fide. If it is determined that a tenured faculty member's primary appointment in a particular constituent faculty shall be terminated for financial exigency or educational considerations, the University shall make all reasonable attempts, including providing retraining, to transfer the affected faculty member to another position consistent with the discipline of the affected faculty member in 1) another department within the constituent faculty, 2) another constituent faculty within the University, or 3) a position outside the University. Transfers to another position within the University shall be accomplished only after consultation with the dean and department chair (in constituent faculties with a department structure) of the unit to which the affected faculty member will be transferred.

5. The Faculty Senate must review and report on the factual accuracy of a claim of financial exigency or educational considerations sufficient to lead to the termination of tenured faculty. If the termination of tenured faculty appointments is proposed, the university administration and the affected unit shall supply all information required for a full study of the need for the proposed action. If the proposal is to close a unit within a school or college, the faculty of the affected school or college shall have the initial responsibility for studying the need for the closure and for making recommendations. If the proposal is to close a school or college, the Faculty Senate shall have the initial responsibility for studying the need for closure and for making recommendations. The Faculty Senate shall appoint a committee to review the findings of the affected constituent faculty. This review committee shall include faculty representation from both the Budget and the Personnel Committees of the Faculty Senate. The review committee shall report in a timely fashion to the Faculty Senate Executive Committee which shall present the findings to the Faculty Senate. The recommendation of the Faculty Senate shall be forwarded to the president of the University for submission to the Board of Trustees.

6. Tenured faculty members whose appointments are to be terminated pursuant to part (ii) or part (iii) of paragraph 3, above, shall receive a terminal appointment of no less than twelve months.

Comment [exh1]: Doesn't concern the grievance process.

Chapter Three, Part One, Article IV, Section D. Hearing Procedures

1. Initiation of Procedures

Preliminary inquiry into allegations of conduct violating professional standards or university standards or regulations on the part of a faculty member which may lead to disciplinary action (includes but is not limited to Section I, E, 3, i) may be initiated by the Executive Committee of the Faculty Senate (hereinafter, Executive Committee) or by a representative of the president of the University. In either case, the purpose of initial investigation shall be to make clear to the faculty member the allegations brought against him or her, to hear his or her response, to resolve the issues if possible, and to guide the president in his or her decision whether to invoke a formal hearing. If initial investigation is made by the Executive Committee, that body shall transmit its recommendation to the president and the concerned faculty member by letter. It may also be necessary in the case of research misconduct to notify outside funding agencies and journals, according to the University's research misconduct guidelines and federal regulations.

In the case of sexual harassment, there is a separate procedure. (See Chapter 4, General Policies, XIV. Sexual Harassment.)

In the case of research misconduct allegations, there will be an obligation to document the investigation according to applicable federal regulations and according to the "Guidelines Involving Allegations of Research Misconduct" (Chapter 3, Part Two, Section II, of the Faculty Handbook). For this purpose, these allegations shall be reported immediately to the Research Integrity Officer. (See "Policy for Responding to Allegations of Research Misconduct," Chapter 3, Part Two, Sec. II).

2. Decision for a Formal Hearing

- a. The decision to hold a formal hearing of charges against a faculty member shall reside with the president. The president shall notify in writing the faculty member and the Executive Committee of a decision to institute a hearing. This notice shall contain a complete statement of the charges as prepared by the representative of the president, who will represent the University in the hearing.

- b. In an emergency, suspension of the faculty member for the best interests of the University pending the outcome of formal proceedings shall be the prerogative of the president. Suspension shall be with full salary. However, if the suspension is upheld, the faculty member may be required to repay his or her salary from the date of suspension.

3. Selection of the Hearing ~~Committee~~Panel

~~3.4.~~

a. Creation of Grievance Panel (as also described in Article V, Section C.3). In the spring semester of each academic year, the secretary of the Faculty Senate shall solicit faculty members interested in serving on hearing committees during the following academic year and shall make a list of those faculty members who respond. At the same time, the secretary shall make a list of those faculty members who have served as members of recent grievance committees or as advisors to either complainants or respondents. The secretary shall provide the lists to the Faculty Senate Nominating Committee. The Nominating Committee shall nominate twenty-five members of the University Faculty to serve on the Grievance Panel from which members of hearing committees are to be chosen during the following academic year. The Nominating Committee shall designate up to eight of the panelists nominated as eligible to serve as chair of a hearing committee. The panelists so designated shall have had multiple experiences with the grievance process as members of hearing committees or as advisors to PARTIES or shall have other relevant training or experience.

~~a. The Executive Committee of the Faculty Senate shall appoint two members of the Faculty Senate and one member of the Committee on Faculty Personnel, who need not be a member of the Faculty Senate, to be members of any hearing committee which may be established under the provisions of this Section IV. In order to assure continuity on the panel, these three members shall be appointed to overlapping terms. Furthermore, it shall designate as members of this panel eight to sixteen additional faculty members, not members of the Faculty Senate, who have indicated a willingness to serve on hearing committees, if selected. All panel members shall serve two year terms and be eligible for additional terms without limit. Prior to the beginning of each school year, the Executive Committee shall fill any vacancies among the panel members. An orientation session shall be held each year for all panel members so that they clearly understand all committee procedures.~~

b. The hearing committee shall consist of five members Within two weeks of notice of the president's decision for institution of a formal hearing, the selection of members of

the hearing committee will proceed in the following manner. From the panel the faculty member shall first appoint one member and the president's representative shall then appoint one member. The chair of the Faculty Senate shall then appoint three members of the panel, at least one of whom shall be a person eligible to chair a hearing committee. The chair of the Faculty Senate shall designate the chair of the hearing committee. If either party fails to take advantage of his or her privilege of appointing a committee member or if a group of respondents cannot agree among themselves upon such selection, then the remaining members of the hearing committee shall be appointed from the Grievance Panel by the chair of the Faculty Senate. If the chair of the hearing committee is unable to serve or has a conflict of interest, the chair of the Faculty Senate may remove him or her and designate a replacement from the Grievance Panel to serve as chair for the hearing committee. If a member of the hearing committee is unable to serve or is removed because of conflict of interest, the chair of the Faculty Senate shall designate a replacement from the Grievance Panel. Timeliness of the grievance process is important, and the committee should consider evening and weekend meetings.

- b. ~~the Executive Committee the chair of the Faculty Senate shall direct the selection of a hearing committee of seven five members. The notification from the Executive Committee to the Office of the Secretary of the Faculty Senate shall specify the period within which the selection process shall be completed and the hearing begun. From the panel, the representative of the president shall appoint two one members, and the faculty member may then appoint two one members to the hearing committee; if the faculty member waives this privilege, the latter two members shall be appointed from the panel by the Executive Committee chair of the Faculty Senate. These four two, together with the three members appointed by the Executive Committee of the chair of the Faculty Senate, shall constitute the seven five member hearing committee. The hearing committee shall select a chair from among its members.~~

- c. When a party claims, or it appears to the chair of the hearing committee, that a conflict of interest exists between the party and a member of the hearing committee, the chair of the hearing committee shall consider and decide whether to remove the member from the committee.

When a party claims, or it appears to the chair of the Faculty Senate, that a conflict of interest exists between the party and the chair of the hearing committee, the chair of the Faculty Senate shall consider and decide whether to remove the chair of the hearing committee.

Only the following grounds justify removal of the chair or a member of the hearing committee: 1) The chair or member is a witness or is otherwise directly involved in the dispute. 2) The chair or member has a history of conflict with either party. 3) An actual or apparent serious power disparity exists in the personal relationship between the chair or member and either party. 4) The chair or member is unable to approach the issues in a fair and neutral way.

d. No persons involved in the grievance procedure shall discuss the grievance except as provided herein.

4. Conduct of the Hearing

e.e. All sessions of the hearing shall be closed unless the representative of the president and the faculty member both agree otherwise. The president and his or her representative may attend all sessions.

e.f. If sessions are closed, confidentiality shall be maintained by all parties.

e.g. If sessions are open, publicity about the case by members of the hearing committee, other than necessary simple announcements, shall be avoided until the proceedings have been completed.

e.h. The president's representative and the faculty member shall each have the right to an advisor of his or her choice, chosen from the faculty or administration, excluding the Office of General Counsel. Such advisor shall have no right to participate in the proceedings except to advise his or her principal.

e.i. An audio ~~tape~~-recording of each hearing session shall be made by the hearing committee and preserved in the University Archives. Access to the recording shall be limited to the president, the president's representative, the faculty member, and members of the hearing committee. Requests shall be addressed to the chair of the Faculty Senate. Upon approval, the ~~tape-recording~~ shall be made available for review in the Office of the Secretary of the Faculty Senate. To preserve confidentiality, no other ~~taping recording~~ or copies of these ~~tapes-recording~~ will be permitted.

e.j. The chair shall open the hearing by reading the charges against the faculty member, as transmitted by the president's representative.

~~i.k.~~ The faculty member shall then submit a written statement answering the charges. This statement may be read by the faculty member or his or her advisor; otherwise, it shall be read by the chair.

~~j.l.~~ The hearing committee shall grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.

~~k.m.~~ The faculty member shall be afforded an opportunity to obtain necessary witnesses and documentary or other evidence.

~~l.n.~~ The faculty member and the president's representative shall have the right to cross-examine all witnesses.

~~m.o.~~ The hearing committee shall not be bound by strict rules of legal evidence and should consider any evidence which is of probative value in determining the issues involved. To this end, the committee may call its own witnesses.

~~n.p.~~ The burden of proof that adequate cause exists for disciplining a faculty member shall rest with the University and shall be met only by a preponderance of evidence in the hearing record. The findings of fact shall also be based solely on the hearing record.

~~o.q.~~ Procedural decisions, factual findings, conclusions, and recommendations of the hearing committee shall be by majority vote. Statements of majority positions shall be accompanied by any statement of dissent or of separate concurrence.

4.5 Report of the Hearing Committee

Within ten days after conclusion of the hearing, the hearing committee shall prepare a written report of its findings and conclusions and shall recommend a sanction, if any, to be applied. Copies of this report shall be transmitted to the faculty member, the president, the president's representative, and the chair of the Faculty Senate.

5-6. Decision by the President

- a. The president may impose the sanction, if any, recommended by the hearing committee. If the president does not concur with the recommendation of the hearing committee, he or she shall, within seven days, transmit to it and to the faculty member a written statement of an alternative judgment and the reasons therefore. The hearing committee shall then reconsider the case, taking account of the president's statement and receiving new evidence, if necessary, and shall submit to the president and to the faculty member its second report and recommendation. This response shall be presented within seven days unless the president extends the time. After study of the hearing committee's reconsideration, the president shall make the final judgment. In the event the president finds contrary to the hearing committee's second report and recommendations, the president shall transmit to the faculty member, the hearing committee, and the chair of the Faculty Senate the reasons for such findings.

- b. If the president's decision is to dismiss the faculty member, the president shall give consideration to the schedule pertinent to non-renewal of term appointments, Section I, K.

Faculty Handbook, Chapter Three, Part I: Article V: Grievance Procedures

Sec. A. Introduction

The purpose of this ~~Section Article~~ V is (1) to provide a source of informal ~~confidential~~ advice on faculty personnel matters to members of the faculty, which source can serve the function of informal conciliation where appropriate; and (2) where the informal mechanisms are not successful in resolving the dispute, to provide a mechanism for the formal adjudication of disputes about personnel practice. This adjudication mechanism, described in Section C below, is substantially similar to the procedures described in ~~Section Article~~ IV, ~~Section~~ D of the Policies and Procedures. The difference is that procedures under IV, D are the result of a complaint by the faculty or by the administration against an individual faculty member, while procedures under V, C are the result of a complaint by an individual faculty member against a person or group with administrative or supervisory authority over that faculty member (e.g., a dean, a department chair, or a member of a promotion and tenure committee), the administration, or officer thereof, or against a faculty member or group. Allegations of research misconduct and sexual harassment shall be sent to the appropriate committee or administrative offices as outlined in ~~Section-ARTICLE~~ IV, ~~SECTION~~ D, 1. The chair of the Faculty Senate shall represent the University Faculty in overseeing the grievance process.

Comment [CGT2]: I think it is better to define the “confidentiality” of the process below, where the exceptions are set out. This is because there are some necessary exceptions to confidentiality, such as when required by law. And certain necessary referrals of matters would not be confidential.

Comment [CGT3]: To be consistent with language below.

Sec. B. Informal Advice, ~~Investigation~~, and Conciliation

In most cases, a faculty member who desires information about and assistance with university-related “disputes regarding personnel practice” decisions or “inter-collegial conflicts” among faculty (as both are defined below) that which may affect him or her should first will consult with his or her own colleagues or his or her own dean or department chair. However, there may be instances ~~cases~~ in which the faculty member needs such ~~such~~ advice from a knowledgeable source outside of his or her own faculty. An example of this would be where an adverse recommendation on promotion, tenure, or retention has been made at the departmental level, and the individual believes that the proper procedures were not followed in making the decision. For such cases, the faculty member may choose to seek advice from the Faculty Conciliation and Mediation Program (“the Program”), the Committee on Faculty Personnel. The program provides for a Conciliation Counselor, who will be appointed by the Provost or his/her designee, with review and concurrence by the Faculty Senate. The Conciliation Counselor provides a voluntary mechanism to attempt to resolve faculty concerns or disputes by agreement of the parties. The Conciliation Counselor is available to for provide informal advice, investigation, and conciliation on the informal request of any faculty member. The Conciliation Counselor serves as a facilitator to attempt to reach an agreed-upon resolution of the parties and does not have the authority to make a decision with respect to the dispute or issue. As a condition for participating in the Program, participants to an informal conciliation must agree to suspend the formal grievance process pending completion of the conciliation/mediation process. In reaching a resolution, the Conciliation Counselor shall assure that each of the parties has ve the authority to bind the applicable individual, entity, or the university to the agreed-upon resolution.

Comment [exh4]: The intention of the *ad hoc* committee was to have all mediation done by the faculty conciliation counselor, not the Faculty Senate Personnel Committee. Once the 18-month pilot program for the conciliation counselor was approved as permanent – as it has been - the ad hoc committee intended to make the final needed amendments to the Faculty Handbook.

~~In such a case, the Conciliation Counselor chair of the committee shall maintain as confidential the source and nature of the inquiry from the faculty member request and shall not reveal it to the Faculty Senate, to the administration, or to any other group or person without the express consent of the faculty member, except as unless (1) otherwise required by law, (2) necessary to refer the matter to another appropriate office, or (3) required by university policy to be reported and referred to another office, such as in the case of allegations of sexual harassment, discrimination, or research misconduct (see below). If a conciliation/mediation process is agreed to by the parties, the parties and the Conciliation Counselor shall maintain the confidentiality of communications within that process, unless disclosure is otherwise required by law or otherwise provided in this provision. The Conciliation Counselor may disclose to the Provost or his/her designee the names of the parties to a mediation/conciliation, the meeting dates, and whether a resolution has been reached. The Conciliation Counselor, without disclosing confidential information, shall report to the Provost and to the Faculty Senate each year with respect to the operation of the office and to make recommendations on the improvement of the Program.~~

Comment [CGT5]: This is to distinguish the confidentiality requirements regarding an inquiry by a faculty member to seek advice and an actual conciliation/mediation process between the parties. The law protected the conciliation/mediation process, but the inquiry itself may not be confidential if it must be referred to another process etc.

Comment [CGT6]: This is consistent with the final report of the Faculty Senate ad hoc committee, from 2009.

Comment [CGT7]: This is consistent with the language used in the brochure for the Faculty Conciliation and Mediation Program.

Separate procedures govern matters of sexual harassment and research misconduct. In such matters, reporting is required in Chapter 4, XIV (Sexual Harassment) and Chapter 3, Part Two, II (Policy for Responding to Allegations of Research Misconduct.) ~~Issues brought by a faculty member alleging discrimination in a personnel practice or inter-collegial dispute must be referred by the Conciliation Counselor to the Faculty Diversity Officer or his/her designee in the Office of Inclusion, Diversity & Equal Opportunity, so that the matters may be investigated. Certain other matters may not be appropriate for conciliation efforts by the Conciliation Counselor, such as requests for monetary relief from the respondent, requests for relief that would be contrary to other university policies or processes (such as a substantive decision regarding the tenure and promotion process), or conciliation efforts that would circumvent the university's obligations to investigate and take action as required by law. The Conciliation Counselor, after reviewing the issue, will determine if the matter is appropriate for mediation. The Conciliation Counselor may consult with the Provost and/or the Office of General Counsel in reaching such determinations.~~

~~The Provost or his/her designee may provide for selection and training of additional persons to serve as assistants to the Conciliation Counselor or to succeed the Conciliation Counselor. Upon recommendation of the Conciliation Counselor, the Provost or his/her designee may provide for the formal mediation by a qualified outside mediator in appropriate instances. The chair and other committee members will provide information and counsel to the faculty member, investigate the facts, and where appropriate, offer its services as a mediator. The members of the Faculty Senate Personnel Committee will continue in their role as mediators of disputes and may be provided formal training in the process of mediation. However, the functions of investigation and mediation shall be performed only to the extent they can be without a breach of the obligation of confidentiality.~~

Sec. C. Formal Grievance Procedures

1. Scope of Procedures

- a. A formal grievance complaint may be filed by any person (hereafter referred to as the complainant) who is a full-time member of the University Faculty, as defined in the "Constitution of the University Faculty."

- b. A grievance complaint may be filed and this procedure invoked only if the complaint alleges a dispute about “personnel practice,” which means a conflict between a faculty member and a person with administrative or supervisory authority over that faculty member (e.g., a dean, a department chair, or a member of a promotion and tenure committee) with respect to some employment-related adverse action against the faculty member. An “inter-collegial conflict” is a conflict between faculty colleagues about academic matters, other than a decision to take employment-related adverse action, when such a conflict seriously impairs the effective functioning of the academic unit. Examples include disrespectful behavior, refusal to participate or to include others in the decision making process within the unit, and airing conflict to outsiders, thereby causing damage to the grievant, the unit, or the University. An “inter-collegial conflict” may not be the subject of a grievance complaint. This formal grievance procedure does not apply to such conflicts.
- c. Such a grievance complaint may be filed against any person (hereafter referred to as the respondent) who is a member of the University Faculty or a member of the university administration, except the president. A grievance complaint may not be filed against the University Faculty, the Faculty Senate, or the Board of Trustees.
- d. Formal grievances shall be heard in any case in which it is charged that the respondent has taken action which adversely affects the complainant and which action is a violation of the "Constitution of the University Faculty," Chapter 3 of the Faculty Handbook, the by-laws of the Faculty Senate, the by-laws of a constituent faculty or of a department, these policies and procedures, or of accepted norms of university academic personnel practice. Action on promotion and tenure matters is subject to these procedures only if it is charged that the respondent(s) failed to follow prescribed procedures or used an impermissible standard. (See Section 1b above.) A hearing committee which considers a grievance involving a promotion or tenure matter may not in its recommendations substitute its judgment with respect to the merits of the action for the judgment of any other committee, department, or faculty which is part of the normal review process (see Chapter 3, Part One, I (Appointments, Reappointments, Resignations, Promotions and Tenure).
- e. Only the chair of the Faculty Senate and the secretary of the Faculty Senate may communicate with the hearing committee regarding interpretation of the formal grievance procedure as stated in the Faculty Handbook.

2. Complaint

- a. Formal procedures are initiated by filing with the secretary of the Faculty Senate a written grievance complaint addressed to the chair of the Faculty Senate. The complaint shall identify by name the complainant and all respondents, and shall state the grievance briefly and clearly. The complaint shall refer specifically to the "Constitution of the University Faculty," Chapter 3 of the Faculty Handbook, the by-laws of the Faculty Senate, the by-laws of a constituent faculty or of a department, these policies and procedures, or other accepted norms of university personnel practice that were allegedly violated. The complaint shall state the remedy requested. Supporting documents may be presented at this time. If the complainant does not have the names of the respondents, he or she may identify the faculty, committee, or other group, and the chair of the Faculty Senate shall identify the appropriate individuals and designate them by name as respondents. Additional respondents may be added to the grievance proceedings at any stage subject, however, to such requirements of notice as the hearing committee may impose in the interest of fair and expeditious process. Upon receipt of the complaint, the secretary shall send copies thereof to the respondent and the chair of the Faculty Senate. The respondent shall submit a written answer to the complaint and supporting documents within two weeks after delivery of the complaint, unless for good reason the chair of the Faculty Senate grants an extension. Upon receipt of the answer, a copy thereof shall be forwarded by the secretary to the complainant and to the chair of the Faculty Senate.

3. Selection of the Hearing Committee

- a. Creation of Grievance Panel (as also described in Article IV, Section D.3). In the spring semester of each academic year, the secretary of the Faculty Senate shall solicit faculty members interested in serving on hearing committees during the following academic year and shall make a list of those faculty members who respond. At the same time, the secretary shall make a list of those faculty members who have served as members of recent grievance committees or as advisors to either complainants or respondents. The secretary shall provide the lists to the Faculty Senate Nominating Committee. The Nominating Committee shall nominate twenty-five members of the University Faculty to serve on the Grievance Panel from which members of hearing committees are to be chosen during the following academic year. The Nominating Committee shall designate up to eight of the panelists nominated as eligible to serve as chair of a hearing committee. The panelists so designated shall have had multiple experiences with the grievance process as members of hearing committees or as advisors to complainants or respondents, parties or shall have other relevant training or experience.

b. The hearing committee shall consist of five members. The selection of members of the hearing committee will proceed in the following manner. From the panel the respondent shall first appoint one member and the complainant shall then appoint one member. The chair of the Faculty Senate shall then appoint three members of the panel, at least one of whom shall be a person eligible to chair a hearing committee. The chair of the Faculty Senate shall designate the chair of the hearing committee. If either the complainant or the respondent fails to take advantage of his or her privilege of appointing a committee member or if a group of respondents cannot agree among themselves upon such selection, then the remaining members of the hearing committee shall be appointed from the Grievance Panel by the chair of the Faculty Senate. If the chair of the hearing committee is unable to serve or has a conflict of interest, the chair of the Faculty Senate may remove him or her and designate a replacement from the Grievance Panel to serve as chair for the hearing committee. If a member of the hearing committee is unable to serve or is removed because of conflict of interest, the chair of the Faculty Senate shall designate a replacement from the Grievance Panel. Timeliness of the grievance process is important, and the committee should consider evening and weekend meetings.

c. When a party claims, or it appears to the chair of the hearing committee, that a conflict of interest exists between the party and a member of the hearing committee, the chair of the hearing committee shall consider and decide whether to remove the member from the committee.

When a party claims, or it appears to the chair of the Faculty Senate, that a conflict of interest exists between the party and the chair of the hearing committee, the chair of the Faculty Senate shall consider and decide whether to remove the chair of the hearing committee.

Only the following grounds justify removal of the chair or a member of the hearing committee: 1) The chair or member is a witness or is otherwise directly involved in the dispute. 2) The chair or member has a history of conflict with the complainant or respondent. 3) An actual or apparent serious power disparity exists in the personal relationship between the chair or member and the complainant or respondent. 4) The chair or member is unable to approach the issues in a fair and neutral way.

d. No persons involved in the grievance procedure shall discuss the grievance except as provided herein.

4. Conduct of the Hearing

- a. Copies of the complaint, supporting documents, the respondent's answer, and all other material shall be made available to both parties and the hearing committee by the Office of Secretary of the Faculty Senate. The secretary shall work with both parties and the committee to schedule a hearing at the earliest possible date. Notice of the time and place of the hearing shall be sent to all parties. Not less than ten calendar days before the hearing, the parties shall submit to the chair of the hearing committee their lists of witnesses and any documents they plan to offer as evidence at the hearing. The chair of the hearing committee shall meet with the parties in person or by conference call to discuss the witness lists, the documentary evidence to be introduced, and possible stipulations of fact. The chair of the hearing committee shall work with the parties to assist them in focusing the issues to be decided and to minimize or eliminate the offering of irrelevant or repetitive testimony or documents. If either party demands to present a witness or a document that the chair believes to be irrelevant or repetitive, the chair of the hearing committee may rule the testimony or document inadmissible. The inadmissibility ruling shall be communicated to the other members of the hearing committee and the committee may overrule the chair by a vote of three of the five committee members. The chair of the hearing committee may also request that additional documentary material be furnished by either party. The additional material so provided by a party shall be made available to the other party and to the committee members unless it is ruled inadmissible by the chair of the hearing committee. The availability of documents is subject to the rule that the confidentiality of any documents accepted by the University in confidence shall be maintained. Thus, for example, letters written by external referees or reviewers submitted in connection with a promotion and/or tenure action shall not be disclosed to a complainant if they were received in confidence.
- b. The complainant and respondent shall have the right to be present during the hearing, except for the deliberations of the committee and for the examination of witnesses concerning confidential material.
- c. Unless specifically requested to be absent by the chair of the hearing committee, the secretary of the Faculty Senate shall be present at the hearing to advise the hearing committee on procedure and to make the audio tape recording. Otherwise, the hearing shall be closed to all except the hearing committee, complainant, respondent, witnesses and advisors. The hearing committee shall maintain the confidentiality of closed proceedings.

- d. The burden of proof (by preponderance of the evidence) shall be borne by the complainant. The hearing committee shall not be bound by the rules of evidence applicable to legal proceedings but may consider any relevant evidence with due regard for its probative value. If witnesses are presented by either party, the other party and the committee shall have the right to cross-question any witness. The hearing committee may call its own witnesses, in which case the parties shall also have the right to cross-question such witnesses. Witnesses shall be present at the hearing only while presenting their testimony. The hearing committee may examine the complainant, the respondent, and all witnesses. However, the Conciliation Counselor who has provided any member of the Committee on Faculty Personnel who was involved in informal counseling, investigation, advice or conciliation, pursuant to Section B above, shall not testify during the grievance process as to anything said or done during such informal a conciliation proceedings without the express consent of the complainant and the respondent(s), unless as required by law. Separate procedures govern matters of sexual harassment and research misconduct. In such matters, reporting is required in Chapter 4, XIV (Sexual Harassment) and Chapter 3, Part Two, II (Policy for Responding to Allegations of Research Misconduct.)
- e. During the pendency of the grievance process and at any stage thereof prior to final resolution, the complainant may withdraw the complaint and terminate the grievance proceeding, provided, however, that the respondent shall be given notice of the withdrawal and shall consent in writing to the termination. If the respondent does not consent to the termination, then the proceeding shall continue to its final conclusion.
- f. An audio ~~tape~~-recording of each hearing session shall be made by the hearing committee and preserved in the university archives. Access to the recording shall be limited to the complainant, respondent, and members of the hearing committee. Requests shall be addressed to the chair of the Faculty Senate. Upon approval, the tape-recording shall be made available for review in the Office of the Secretary of the Faculty Senate. To preserve confidentiality, no other recording taping or copies of these tapes-recording will be permitted.
- g. The complainant and respondent each shall have the right to an advisor of his or her choice, chosen from the faculty or administration. Such advisor shall have no right to participate in the proceedings except to advise his or her principal.

h. The order of the hearing, unless the chair of the hearing committee rules otherwise, shall be as follows:

1. Complainant's opening presentation of his or her case, followed by questions by the hearing committee, if any;
2. Respondent's presentation of his or her defense, followed by questions by the hearing committee, if any;
3. Complainant's witnesses;
4. Respondent's witnesses;
5. Rebuttal by complainant;
6. Surrebuttal by respondent.

Normally, witnesses, other than the complainant and respondent shall be present at the hearing only when testifying.

i. As soon as possible following the hearing, the hearing committee shall make its findings of fact, conclusions and recommendations by majority vote. The findings of fact shall be based solely on the record adduced at the hearing, and no evidence extrinsic to the record shall be considered.

- j. The chair of the hearing committee shall preside at all sessions and shall make all procedural decisions, subject to being overruled by a vote of three of the five committee members.

5. Failure to respond to complaint

It is expected that all respondents in grievances cooperate and appear for the hearing.

The deliberate failure or refusal of a respondent to file an answer or the deliberate failure or refusal of the respondent to appear at the hearing after the filing of an answer, shall not prevent the hearing committee from proceeding with the hearing. In case of such default or partial response on the part of the respondent, the hearing committee shall hear the complainant's oral presentation and shall make findings and recommendations based upon the oral and written material presented by the complainant and any oral or written presentation by the respondent.

6. Commencement or pendency of litigation or external administrative proceeding

If either before or after the complainant files a grievance complaint he or she commences litigation or files a complaint with a local, state, or federal agency concerning the matters set forth in the grievance complaint, the pendency of such litigation or administrative proceeding shall not prevent the hearing committee from proceeding with the hearing in due course. The complainant shall not be deprived of the internal grievance process by virtue of such litigation or administrative proceeding.

7. Report of the Hearing Committee

Within two weeks of the end of deliberations, the chair of the hearing committee shall present a written report of its findings of fact, conclusions, and recommendations. If the vote of the committee is not unanimous, the minority may prepare a minority report to be appended to the majority report. The secretary of the Faculty Senate shall forward the report to the president, the chair of the Faculty Senate, and to the parties, copied to the chair and members of the hearing committee.

If the majority finds in favor of the complainant, the report should be considered an interim report. It should require the respondent to reconsider the matter complained of and to report the result of such reconsideration to the secretary of the Faculty Senate within ten calendar days from the date of receipt of the committee's interim report. Upon receipt of the respondent's report of reconsideration of the matter, the committee may revise its interim report. The respondent's report of reconsideration shall be added as an

addendum to the hearing committee's report. The report and addendum shall constitute the final report of the hearing committee. When the committee has completed its report and recommendations, the committee may request a meeting with the president to present its report. It is understood that this meeting is intended to provide the president with an opportunity to hear directly from the committee and for the president to ask questions about the report. The president's response to the report will not be made at this meeting. The final report shall forthwith be transmitted by the secretary of the Faculty Senate to the president, the chair of the Faculty Senate, and to the parties, copied to the chair and members of the hearing committee, with the committee's recommendations.

If the majority finds in favor of the respondent, the hearing committee's report shall be considered its final report.

8. Decision by the President

The final resolution of the complaint shall be made by the president, normally within a period of two weeks after receipt of the committee's final report. If the president agrees with the majority report, he or she shall so notify the secretary of the Faculty Senate in writing. The secretary of the Faculty Senate shall transmit the written notification to the chair and members of the hearing committee, the chair of the Faculty Senate, and to the parties.

If the president disagrees with the final report and its recommendations, he or she shall so notify the secretary of the Faculty Senate in writing, setting forth the reasons for disagreement and final resolution of the matter. The secretary of the Faculty Senate shall transmit the written notification to the chair and members of the hearing committee, the chair of the Faculty Senate, and to the parties.

In the alternative, the president may ask the secretary of the Faculty Senate to reconvene the hearing committee to reconsider its final report and recommendations in the light of his or her stated objection thereto. In such case, the hearing committee shall reconvene to reconsider the matter, taking new evidence, if necessary, and report the results of its reconsideration to the secretary of the Faculty Senate. The secretary of the Faculty Senate shall transmit the written notification to the president, the parties, and the chair of the Faculty Senate, copied to the chair and members of the hearing committee the written report of its reconsideration.

After review of the hearing committee's reconsidered report and recommendations, the president shall transmit to the secretary of the Faculty Senate a final resolution of the matter; and the secretary shall transmit the same to the parties, the chair and members of the hearing committee, and the chair of the Faculty Senate. At the end of the academic year, faculty members who served on hearing committees may request a meeting with the president to discuss the grievance process in general terms without reference to the specific cases that have been heard.

Faculty Senate By-laws, By-law VII Committees

Item e. Committee on Faculty Personnel.

- 1) The Committee on Faculty Personnel shall consist of a deputy designated by the President, a member of the Committee on Faculty Compensation elected by that committee to serve *ex officio*, the Faculty Diversity Officer to serve *ex officio*, and nine voting members of the University Faculty elected by the Faculty Senate. The term of membership on the Committee on Faculty Personnel shall be three years; three members shall be elected each year. Each elected member shall be eligible for re-election only after the lapse of at least one year following the expiration of two consecutive three-year terms of membership.
- 2) The Committee on Faculty Personnel shall review faculty personnel policies and procedures, including those having to do with appointment, reappointment, promotion, tenure, and retirement and shall recommend to the Faculty Senate as to desirable changes in these policies and procedures.
- 3) At least once during each academic year, the Committee on Faculty Personnel, or one of its subcommittees, shall discuss with the Provost or Dean of each constituent faculty the personnel policies and procedures of that faculty. Each year the Committee shall request of the chief academic officer of the University a report on personnel actions in the categories designated in Paragraph (2) of this item.

Comment [exh8]: This is the complete charge to the Faculty Senate Committee on Faculty Personnel in the Faculty Senate By-laws. There is no mention of responsibilities in the grievance process.

1978 – 79
1979 – 80
1980 – 81
1981 – 82
1982 – 83
1985 – 86
amended 5/92
approved by faculty senate 5/92
amended 1/95
approved by faculty senate 4/95
corrections to the 11/02 amendments 12/12/02
approved by faculty senate 1/03
amended 4/04
approved by faculty senate 5/04
amended 2/07
amended 5/09
amended 1/10
amended 4/10
approved by faculty senate 1/11
approved by faculty senate 10/11

CASE WESTERN RESERVE UNIVERSITY
FRANCES PAYNE BOLTON SCHOOL OF NURSING

BYLAWS OF THE FACULTY

ARTICLE I

PURPOSE OF THE BYLAWS

These bylaws of the Frances Payne Bolton School of Nursing of Case Western Reserve University (1) define the duties of the Faculty of Nursing, committees and officers, (2) provide for establishment of committees and (3) provide for election of representatives of the Faculty of Nursing to the Faculty Senate, and to university assemblies as requested.

ARTICLE II

RESPONSIBILITIES OF THE FACULTY OF NURSING

Section 1: This faculty shall have responsibility to:

- a. Adopt rules to govern its procedures, provide for its committees and make recommendations to the dean for such organization of the teaching staff as it may determine.
- b. Organize and execute the educational program of the School of Nursing including admission and progression policies, curriculum content, degree requirements, instruction, and establishment and dissolution of academic programs, other than degree programs which require additional review and approval procedures as noted in the Faculty Handbook
- c. Make recommendations to the dean of initial appointments to the ranks of instructor, assistant professor, associate professor and professor.
- d. Establish policies relating to appointment, re-appointment, promotion and tenure for voting faculty and policies for appointment and promotion for special faculty members.
- e. Make recommendations to the dean for tenure and promotion of faculty.

f. Elect members to the Faculty Senate and to university assemblies as requested.

ARTICLE III

MEMBERSHIP

Section 1 Exception to Rule In Faculty Handbook

Because of the practice nature of the discipline, the Provost has granted the School of Nursing an exception to the Faculty Handbook provision requiring that a majority of the voting faculty shall be tenured or tenure track. The goal of the School of Nursing is to reach such a majority.

Section 2 Voting members

The president and the chief academic officer of the university next in rank to the president and all persons holding full-time tenured/tenure track and full-time non-tenure track appointments to Faculty of Nursing at the rank of professor, associate professor, assistant professor, and instructor shall be voting members of the faculty.

Section 3 Special Faculty (Non-voting members)

Special faculty shall consist of faculty members who are appointed by the dean of the school and 1.) hold full-time academic appointments but have specific, limited responsibilities for the duration of a specific project or for a limited duration, or 2.) hold part-time academic appointments. Special faculty shall have voice but no vote **except as noted in Article VII, Section I b.** Subject to approval by the provost, the types and titles of special faculty are as follows:

a. Lecturer

All persons designated as lecturer are those:

1. Who have responsibility for teaching one or more courses included in the school's curricula; and
2. Whose academic qualifications and competencies are other than those for established university ranks.

b. Clinical Faculty

Includes all persons designated at the ranks of clinical professor, clinical associate professor, clinical assistant professor, and clinical instructor, and whose primary appointments are in service agencies whose resources provide settings, by agreement, for students and faculty to have opportunities to engage in education, research and service in accordance with policy and procedures of the School of Nursing.

c. Preceptor

All persons designated as preceptor are those:

1. Whose academic qualifications and competencies are other than those for established university ranks
2. Whose primary appointments are in service agencies whose resources provide settings, by agreement, for students and faculty to have opportunities to engage in education, research and service in accordance with policy and procedures of the School of Nursing.

d. Adjunct Appointments

Comment [e1]: Recommended change from the FC Bylaws Committee

Persons designated at university ranks of adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor are those:

1. Whose special competencies can provide a desired complement for some designated service, activity or development of the School of Nursing; and
2. Whose academic qualifications meet criteria established for appointees at the same ranks and tracks as shown in Attachment A.

e. Research Faculty

Persons designated at university ranks of research assistant professor, research associate professor, or research professor are those whose primary responsibilities are related to the research mission of the school and university. Neither teaching nor service (other than that related to the research mission) is part of the responsibilities of the research faculty member.

1. Research experience and qualifications are comparable to those of tenured/tenure track faculty at corresponding ranks.
2. Appointment as a research faculty member is contingent upon the availability of research funds to totally cover costs of the research and compensation. The appointment will terminate either prior to or at the end of the current appointment period in the absence of sufficient funds to cover these costs.
3. In the case of new appointments and promotions, the Committee on Appointment, Reappointment, Promotion and Tenure will provide a full review, comparable for that done for appointments and promotions of regular faculty to the ranks of assistant professor, associate professor, and full professor.

ARTICLE IV

SELECTION OF TRACK

Tenure or non-tenure track must be identified at the time of appointment or promotion to assistant professor or higher. The pre-tenure period in the School of Nursing begins at the rank of assistant professor or higher in the tenure track and is nine (9) years in length.

Tenured and tenure track faculty member obligations to the university include 1) teaching, 2) research, and 3) service to the university community. Non-tenure track faculty member obligations include two of the three.

ARTICLE V

OFFICERS

Section 1 Chairperson – The president of the university shall preside at faculty meetings.

In the president's absence, the chair of the Executive Committee shall chair the meeting; in the absence of the Executive Committee chair, the dean's designee shall preside.

Section 2 Secretary – The secretary shall be appointed annually by the Executive Committee. The functions of the secretary are:

- a. Monitoring the preparation of the minutes of the faculty meetings. Signing the official copy of the minutes.
- b. Being responsible for distribution of these minutes to the faculty.
- c. Serving on the Executive Committee.

ARTICLE VI

MEETINGS

Section 1. Regular Meetings – At least four (4) regular meetings shall be held between September 1 and May 31.

Section 2. Special Meetings – Special meetings may be called by the president, by the dean or upon request of three members of the voting faculty.

Section 3. Executive Committee Meetings – At least four (4) meetings shall be held between September 1 and May 31.

Section 4. Quorum – ~~Forty-Twenty five~~ percent of the voting members of the faculty shall constitute a quorum.

Section 5. Voting Body – See Article III, Sections 2 and 3 of these bylaws.

~~Section 6. Notice—The Chair, or, on the Chair's designation, the Secretary shall notify each member of the faculty at least one week before each regular and special meeting. Such notification shall be in writing and shall specify the time and place of the meeting.~~

Comment [e2]: Recommendation from the FS Bylaws Committee

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Comment [e3]: Recommendation from the FS Bylaws Committee

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ARTICLE VII

STANDING COMMITTEES

Section 1 Membership and Voting Privileges

a. The president of the university and the dean of the School of Nursing shall serve as members ex-officio of all faculty committees. Ex-officio status here and in subsequent sections of the bylaws carries with it voting privileges.

b. Persons holding appointments as special faculty may serve on committees and may vote in committees ~~unless otherwise indicated in these bylaws and designated in these bylaws.~~

c. Students serving on standing committees of this faculty may vote in committees unless otherwise indicated by these bylaws.

d. A faculty member may serve in no more than two (2) elected positions per year on standing committees of these bylaws.

e. An elected member shall be eligible for no more than two (2) consecutive terms on the same committee. An appointment to fill a vacancy on a committee does not constitute a term.

f. An administrative person serving as an ex-officio member of a standing committee shall convene the first meeting of the year, assist with administrative functions of the committee and provide continuity in the committee activities.

g. A quorum of any standing committee shall be one half the voting members unless specifically stated in the by-laws .

Section 2 Election and Appointment – The members of all standing committees shall be elected by the voting faculty or appointed as specifically stated. Faculty nominate themselves for positions on the ballot prepared by the Executive Committee. Committee vacancies will be filled by Executive Committee appointment. Elections will be held spring semester with newly elected and appointed members assuming duties beginning fall semester.

Section 3 Term of Office – The members shall serve for a specified term on each appointed

Comment [e4]: Recommendation from the FS Bylaws Committee

or elected committee as designated in Article VII, Sections 6-15 of these bylaws.

Section 4 Chairperson – When the chairperson of a standing committee is not designated, and an ex-officio member is not regularly a member of the committee, a faculty member selected by the Executive Committee shall convene the first meeting of the academic year. The chairperson of each standing committee shall be elected annually in the fall by committee members, unless otherwise specified.

Section 5 Reporting – Each standing committee shall submit a written report at least one time per semester and following each regularly scheduled meeting if they occur more often to the faculty for each faculty meeting.

Section 6 Executive Committee of the Faculty

a. Membership – The committee shall be composed of:

1. ~~Seven~~~~Eight~~ (8) faculty members: six (6) members shall be voting faculty; ~~one~~~~two~~ (2) shall be special faculty.
2. The dean of the School of Nursing – *ex-officio*.
3. The executive associate dean for academic programs or an administrative officer who has academic status, appointed by the dean – *ex-officio*.
4. The associate dean for research – *ex-officio*.
5. The secretary of the faculty – *ex-officio*.

6. School representative to Faculty Senate Executive Committee – *ex-officio*

b. Term - Faculty shall be elected for a term of two (2) years. Four (4) faculty members shall be elected in even years and four (4) faculty members elected in odd years.

c. Functions

1. Identify immediate and long-range issues needing faculty study and action.
2. Provide all faculty the opportunity for discussion of proposals for faculty action.
3. Prepare the agenda for each faculty meeting.
4. Prepare and submit proposed changes in the bylaws to all faculty.
5. Prepare a ballot and conduct an election for all elected positions within the school and university. Electronic ballots are permissible.
6. Appoint *ad hoc* committees of the faculty. The Executive Committee shall provide each such *ad hoc* committee with a specific charge stated in writing and the *ad hoc* committee shall confine itself to the fulfillment of this charge unless otherwise authorized in writing by the Executive Committee. The maximum term of any such *ad hoc* committee shall be twelve months, subject to extension at the discretion of the Executive Committee.
7. Act on behalf of the faculty between regular meetings of the faculty. Such action shall be reported by the chairperson of the Executive Committee at the next regular meeting of the faculty.
8. Make appointments to fill vacancies on standing and *ad hoc* committees unless otherwise stated in these bylaws.

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9. Make recommendations to the dean on faculty-requested academic leaves of absence.

10. Evaluate specific cases of student progression/retention as requested by program directors or students.

Section 7 Budget Committee

- a. Membership – The committee shall be composed of:
1. Six (6) voting faculty members three (3) of whom are elected and three (3) of whom are appointed. Appointments are made by the Executive Committee.
 2. The dean of the School of Nursing – *ex-officio*
- b. Term – Voting faculty are elected or appointed for a three (3) year term with one (1) faculty elected and one (1) faculty appointed each year.
- c. Functions
1. Review proposed budgets for consistency with strategic plan priorities.
 2. Review fiscal reports biannually and as needed.
 3. Advise the dean on fiscal matters.
 4. Advise the dean on the number and type of faculty and staff positions.
 5. Recommend to the dean allocation of resources to

faculty. Section 8 Committee on Curricula

- a. Membership – The committee shall be composed of:
1. Four (4) voting faculty members and one (1) special faculty member.
 2. Four (4) students: one (1) from the BSN program, one (1) from the MSN program, one (1) from the MN program, and one (1) from the DNP program.
 3. Program directors for the BSN, Grad Entry, MSN and DNP programs – *ex-officio*.
 4. The executive associate dean for academic programs – *ex-officio*.
- b. Term – Voting faculty shall be elected for a term of two (2) years. Two (2) voting faculty members shall be elected in even years and two (2) voting and one (1) special faculty member shall be elected in odd years. Students are selected by the appropriate student association and shall serve for one (1) year.
- c. Functions
1. Evaluate the curricula and courses in the BSN, MN, MSN, and DNP programs, and other approved academic programs..
 2. Recommend to faculty changes to existing programs or courses, creation of new programs, specialties, majors or courses, and deletion of current programs, specialties, majors or courses.
 3. Recommend policies to the faculty regarding the progression and graduation of students.

Section 9 Committee on Admission to the Master of Nursing (MN) Program

- a. Membership – The Committee shall be composed of:

1. Five (5) elected and up to three (3) appointed faculty members all of whom must be voting faculty.
 2. Director of the MN Program who shall serve as chair.
- b. Term – Faculty shall be elected for a term of two (2) years; three (3) members shall be elected in even years and two (2) members elected in odd years. Up to three (3) faculty shall be appointed annually by the director of the MN program.
- c. Functions
1. Evaluate MN program admission policies and criteria and recommend changes to the faculty.
 2. Interview non-nurse, post-baccalaureate applicants to the MN program.
 3. Admit applicants to the MN program.

Section 10 Committee on Admission to the Doctor of Nursing Practice Program (DNP)

- a. Membership – The committee shall be composed of:
1. Three (3) elected and two (2) appointed faculty members all of whom must be voting faculty.
 2. Director of the DNP program who shall serve as chair.
- b. Term – Faculty shall be elected for a term of two (2) years; two (2) members shall be elected in even years and one (1) member elected in odd years. Two (2) faculty shall be appointed annually for one (1) year terms by the associate dean for doctoral programs.
- c. Functions
1. Evaluate DNP program admission criteria and policies and recommend changes to the faculty.
 2. Interview applicants for admission to the DNP program.
 3. Admit qualified applicants to the DNP program.

Section 11 Committee on Admission to the Master of Science in Nursing (MSN) Program

- a. Membership – The Committee shall be composed of:
1. Four (4) members; all must be voting faculty.
 2. Director of the MSN Program, who shall serve as chair.
- b. Term – Faculty shall be elected for a term of two (2) years; two (2) members shall be elected in even years and two (2) members elected in odd years.
- d. Functions
1. Evaluate admission policies and criteria, for the MSN Program and recommend changes to the faculty.
 2. Admit qualified applicants for admission to the MSN program.
 3. Interview applicants, if appropriate.

Section 12 Bachelor of Science in Nursing (BSN) Program Admission and Progression Committee

- a. Membership – The committee shall be composed of:
 - 1. Two (2) elected and two (2) appointed faculty members all of whom must be voting faculty. Faculty shall be appointed by the director of the BSN program.
 - 2. Director of the B.S.N. Program, who shall serve as chair.
- b. Term – One (1) faculty shall be elected and one (1) shall be appointed in even years; one(1) faculty shall be elected and one (1) faculty shall be appointed in odd years; elected and appointed faculty shall serve two (2) year terms. Faculty shall be appointed by the director of the BSN program.
- c. Functions
 - 1. Evaluate Bachelor of Science in Nursing admission policies and criteria and recommend changes to the Office of Undergraduate Admission.
 - 2. Evaluate applications as requested by the Office of Undergraduate Admission.
 - 3. Advise the director of the BSN program on issues of admission and progression of individual undergraduate nursing students.

Section 13 Board of Appeals

- a. Membership
 - 1. Equal number of students and faculty.
 - 2. Three (3) voting members of the faculty shall be elected. Student representatives shall be appointed as needed by the Undergraduate Student Nurses Association and the Graduate Student Nurses Association with one each from the BSN, MSN, and MN program.
 - 3. One (1) of the elected faculty members will be designated as chairperson by the dean.
 - 4. If for any reason there are not at least two (2) faculty and two (2) student members of the Board of Appeals available to hear the appeal, the Executive Committee of the faculty shall designate faculty member(s) as replacements and the Executive Committees of the Student Associations designate student member(s) as replacements.
- b. Term – Faculty shall be elected for a term of two (2) years. Two (2) shall be elected in odd-numbered years and one (1) in even-numbered years.
- c. Functions
 - 1. Schedule and conduct hearings according to policy and procedure after notification of an official appeal of a grievance or after official notification of a potential violation of academic integrity for which the School of Nursing has jurisdiction.
 - 2. Submit recommendations to the dean upon adequate deliberations following the hearing.

Section 14 Committee on Faculty Appointment, Reappointment, Promotion and Tenure

- a. Membership
 - 1. The dean of the school who serves as chairperson.

2. All voting members of the faculty holding rank of professor with tenure.
3. Additional members may be appointed from among the tenured faculty at the discretion of the dean so long as the number does not exceed the number of professors with tenure.

b. Functions

1. Recommend to the faculty revisions or changes in the definitions of faculty appointments to the School of Nursing. (see attachment A)
2. Make recommendations for emeritus status.
3. Review university and school policies relevant to faculty appointments, reappointments, promotion and tenure and to make recommendations for needed change through appropriate channels to the faculty of nursing and to the Faculty Senate.
4. Review procedures relevant to faculty appointments, reappointments, promotion and tenure and make recommendations for needed change through appropriate channels to the faculty of nursing and to the Faculty Senate.
5. Recommend appointments, reappointments, promotions and tenure for the voting faculty.
6. Review the resources and time (taking into account rank and type of faculty appointment) needed for scholarly growth, academic achievement and professional development including the commitment of resources that accompanies an award of tenure, and recommend changes to the faculty of nursing and administration.

Section 15 Committee for Evaluation of Programs

a. Membership

The committee shall be composed of:

1. Four (4) voting faculty members and one (1) special faculty member.
2. Five (5) students: one (1) from each of the four programs, BSN, MSN, MN, DNP and PhD selected by the appropriate student association.
3. The program directors for the BSN, MSN, MN, DNP and PhD Programs – *ex officio*.
4. The executive associate dean for the academic programs – *ex officio*.

b. Term

Faculty shall be elected for a term of two (2) years; two (2) members to be elected in even years, and two (2) members elected in odd years. Student members shall be selected by the respective student associations annually.

c. Functions

1. Develop forms and procedures to evaluate educational process, course and program outcome criteria. Individual faculty members and program directors will be responsible for evaluating courses and teaching effectiveness.
2. Implement, monitor and revise an ongoing system for evaluation.
3. Report its findings and recommendations to the faculty for action.

Section 16 PhD Council of the School of Nursing

- a. Membership
1. Nine elected members with voting privileges; all voting faculty members with research doctorates (e.g., PhD, DNSc, EdD); one (1) will serve as chair of the admissions committee; the composition of membership will include.
 - a. Two (2) to four (4) members from each rank: Assistant Professor, Associate Professor, and Full Professor.
 - b. The majority of Council members should be tenured or on the tenure-track.
 2. Four (4) ex officio members (Dean, Associate Deans for Doctoral Education, Academic Programs, and Research; these members will have voting privileges.
 3. The Director of Institutional Research in the School of Nursing (non-voting).
 4. One PhD student representative (non-voting)
- b. Elections
1. Faculty members will nominate themselves or be nominated by colleagues. Members will be elected from the pool of nursing faculty members who hold research doctorates (i.e., PhD, DNSc, EdD) and have an active program of research (i.e., have conducted and published research within the past three (3) years) and are eligible to teach in the PhD program and/or advise/mentor PhD students.
 2. Eligibility for placement on the ballot and the determination of the composition of the committee will be made by a two (2) to three (3) member subcommittee of the PhD Council.
- c. Terms of office
1. Three Council members will be elected in the Spring semester each year to serve a three (3) year term so that the terms are staggered; members may serve for not more than two (2) consecutive terms.
 2. If a Council member is unable to fulfill his or her term for any reason, the remaining members of the PhD Council will appoint another eligible faculty member to fulfill the term.
- d. Functions
1. Establish and maintain criteria for appointment of PhD Council.
 2. Establish and maintain all policies for admission, progression, candidacy, and graduation of students in accordance with the policies governing requirements for the PhD in Nursing and the School of Graduate Studies.
 3. Develop, evaluate, and change the curricular requirements of the PhD in Nursing program.
 4. Recommend to the School of Graduate Studies:
 - a. PhD nursing students for candidacy.
 - b. PhD students for graduation
 5. Provide advice to the program director on issues related to admission, progression, and evaluation of courses and PhD program.

6. Collaborate with the Office of Student Services at the School of Nursing in PhD student recruitment.
7. Communicate with and obtain feedback from the pool of nursing faculty members who hold research doctorates (e.g., PhD, DNSc, EdD).
8. Monitor the progress of the PhD program in meeting quality indicators.

e. Meetings

1. Monthly meetings will be held during the academic year and as needed during the summer months.
2. Meetings will be open to all nursing faculty members with research doctorates (e.g., PhD, DNSc, EdD).

Section 17 Committee on Admission to the PhD Program

a. Membership

1. Six (6) members; all voting faculty members with research doctorates (e.g., PhD, DNSc, EdD).
2. Chairperson elected from PhD Council.
3. Director of the PhD program is a member Ex-officio.

b. Election

Faculty members will nominate themselves or be nominated by colleagues; members will be elected from the pool of nursing faculty members who hold research doctorates (e.g., PhD, DNSc, EdD) and an active program of research/scholarship and are eligible to teach in the PhD program and/or advise/mentor PhD students.

c. Terms of office

1. Faculty shall be elected in the Spring semester of each academic year for a term of two (2) years; three (3) members shall be elected in even years and three (3) members elected in odd years.
2. If a committee member is unable to fulfill his or her term for any reason, the remaining members of the PhD Council will appoint another eligible faculty member to fulfill the term.

d. Function

Recommend to the Associate Dean for Doctoral Education and School of Graduate Studies qualified applicants for admission to the PhD in nursing program.

ARTICLE VIII

SPECIAL COMMITTEES

Special committees may be designated to carry on faculty business not otherwise specified in these bylaws. Members shall be appointed by the dean. Special committees shall submit regular reports to the faculty.

ARTICLE IX

UNIVERSITY FACULTY SENATE

Section 1 Representation

- a. The faculty of nursing shall elect senators to the Faculty Senate. The number of senators shall be in accordance with the Constitution of the University Faculty.
- b. The student body of the School of Nursing may have elected members on the Faculty Senate in accordance with the Constitution of the University Faculty.

Section 2. Election

- a. The senatorial elections shall be held in the spring term.
- b. Faculty Senators from the School of Nursing shall be voting members of the faculty. These senators shall be elected to serve three (3) year terms; one-third of them shall complete their term of office on commencement day each year. A Senator shall not be seated unless at least 40% of the voting members have returned ballots in the election.

ARTICLE X

REVISION OF BYLAWS

These bylaws may be amended by a two-thirds affirmative vote of the voting members present at any meeting, provided copies of proposed changes have been distributed to all members, both voting and non-voting, at least two (2) weeks before the meetings at which the vote is taken.

If changes have not been distributed at least two (2) weeks in advance, these bylaws may be amended by a 95% affirmative vote by the voting members of the faculty present at any meeting.

ARTICLE XI

PARLIAMENTARY AUTHORITY

Robert's Rules of Order Newly Revised (most recent revision)

Case Western Reserve University Frances
 Payne Bolton School of Nursing Bylaws
 Attachment A (Effective July 1, 2005)

Criteria for Appointment, Reappointment, Promotion and Tenure for Voting Tenured/tenure Track, and Nontenure Track and Special
 Faculty Members

	<u>Full-Time Tenured/tenure Track</u>	<u>Full-Time Nontenure Track</u>	<u>Special</u>
Obligations:	teaching, research and service to the University community	2 of the 3 listed for tenure track	1 of the 3 listed for tenure track
Lecturer	criteria not applicable	criteria not applicable	Academic qualifications and competencies are other than those for established University ranks.
Instructor	criteria not applicable	<ol style="list-style-type: none"> 1. Master's degree in nursing or Master's degree in a field of special need. 2. Evidence of competence in teaching and in the practice of nursing or in a field of special need. 3. Recognized professional expertise and leadership in a specialty area. 	<ol style="list-style-type: none"> 1. Master's degree in nursing or masters degree in a field of special need. 2. Evidence of competence in teaching and in the practice of nursing or in a field of special need. 3. Recognized professional expertise and leadership in a specialty area.
Assistant Professor	<ol style="list-style-type: none"> 1. Earned doctorate. 2. Experience in teaching and research in area of expertise. 3. Scholarly productivity as evidenced by research, publications in refereed journals, presentations, school/professional committee memberships, and state and local recognition. 	<ol style="list-style-type: none"> 1. Earned doctorate. 2. Excellence in clinical practice and teaching. 3. Scholarly productivity as evidenced by publications in clinical and professional journals, presentations, school/professional committee memberships, and state and local recognition. 	<ol style="list-style-type: none"> 1. Earned doctorate. 2. Excellence in clinical practice and teaching. 3. Scholarly productivity as evidenced by publications in clinical and professional journals, presentations, school/professional committee memberships, and state and local recognition.

**Associate
Professor**

1. Excellence in teaching.
2. Evidence of academic leadership.
3. Research productivity and scholarship
4. Contribution to international scholarship through publications and presentations.
5. University, School, and professional organization committee membership.
6. Contributions to national organizations.

1. Expertise in clinical practice.
2. Evidence of academic and clinical leadership.
3. Clinical scholarship
4. National and international recognition in the profession.
5. University, School, and professional organization committee membership.
6. Contributions to national organizations.

1. Expertise in clinical practice.
2. Evidence of academic and clinical leadership.
3. Clinical scholarship
4. National and international recognition in the profession.
5. University, School, and professional organization committee membership.
6. Contributions to national organizations.

Professor

1. Major University, School and professional organization committee leadership.
2. Substantive scholarly contributions nationally and internationally.
3. Influence in public policy on a national and international level.

1. Major University, School and professional organization committee leadership.
2. Substantive scholarly contributions nationally and internationally.
3. Influence the development of professional policies through national or international leadership activities.

1. Major University, School and professional organization committee leadership.
2. Substantive scholarly contributions nationally and internationally.
3. Influence the development of professional policies through national or international leadership activities.

ENFORCING A DEADLINE FOR DECLARING A MAJOR

Proposal

Students who enroll at Case Western Reserve University as first-year students are expected to declare a major before registering for classes for their fifth semester of enrollment. Transfer students are expected to declare a major before registering for their third semester at Case Western Reserve. Beyond that point, students who have not declared a major will have a registration hold placed on their accounts until they have done so. Those who will have earned fewer than 60 credit-hours (including transfer, AP, IB, and proficiency credit) by the end of their fourth semester for students who started as first-year students, or by the end of their second semester for transfer students, may request that their dean in Undergraduate Studies allow them to register for the next semester by lifting the registration hold. Students may later change their majors should their academic interests change.

Background

We currently have a statement in the General Bulletin that students “are expected to declare a major no later than the end of the second year,” but we have no enforcement mechanism. As a result, some students continue into their third and fourth years without having declared a major, and there is always a small group from whom Undergraduate Studies needs to collect a formal major declaration in order to certify their degrees for graduation. (Currently, 41 students who matriculated as first-year students in August 2009 have not declared a major, about 5% of the number enrolled on the Fall 2011 census date.) In many cases, they are working purposefully in pursuit of a major, but without the benefit of an assigned advisor in the field or the academic requirements report in SIS that shows all degree requirements and which have been satisfied. In the interest of improving advising and ensuring that students are connected to their major fields, this proposal would require that students declare a major before undertaking the second half of their undergraduate work.

Approved by the FSCUE Subcommittee on Academic Standing, 2/28/2012

Reviewed and supported by the FSCUE Curriculum Subcommittee, 2/29/2012

Reviewed and approved by the FSCUE, 3/6/2012

Early Entry Master's Degree Agreements with Non-U.S. Universities

CWRU is considering entering into Early Entry Master's Degree agreements (sometimes referred to as "3+2 programs") with non-U.S. universities. Under such an arrangement, undergraduate students would study for three years at their originating university and then matriculate at CWRU for a two-year period of study towards a CWRU master's degree. These students would receive a bachelor's degree from their original undergraduate institution upon completion of their work at CWRU.

Current regulations for admission to a CWRU graduate program require a student to have either completed a bachelor's degree, or be a participant in an established program that integrates a CWRU undergraduate degree with a CWRU graduate degree (e.g., the BS/MS program or the Integrated Graduate Study program). Participants in the proposed program would fall into neither category; instead, these students would be receiving early admission to a CWRU master's program.

However, it is likely that these students will take undergraduate courses at CWRU. Because of the intersection of the proposed Early Entry Master Degree agreements with undergraduate education, the FSCUE recommends the following position statement:

FSCUE Position on Early Entry Master's Degree Agreements

Students matriculating through an Early Entry Master's Degree agreement will not be admitted to the university through the normal undergraduate admissions process. Therefore, the admitting graduate program must be fully responsible for all administrative and educational matters for such students, without imposition on other schools or colleges in the university.

To be admitted under an Early Entry Master's agreement, an applicant should have completed 1) all general education requirements of the undergraduate degree granting university, and 2) at least 75% of courses and credit hours required by the undergraduate degree granting university for the applicant's undergraduate major and graduation. These requirements should be met before matriculation at CWRU and are consistent with the requirements for other existing programs that integrate undergraduate and graduate study at CWRU. In addition, during the application process the student, with the assistance of the admitting graduate department, must determine a term-by-term plan for the courses to be taken at CWRU to complete the undergraduate degree at the undergraduate degree granting institution. This portion of the application requires approval by 1) all departments offering courses that appear on the term-by-term plan, and 2) the undergraduate degree granting institution. The admitting CWRU program or department is responsible for determining that these entry requirements are met.

International students admitted to an Early Entry Master's Program should satisfy the requirements on the TOEFL or IELTS exam that are in place for undergraduates at the time of admission. Adherence to this standard will allow the students to have a better chance of performing well in classes conducted in English.

Approved March 27, 2012 by the Faculty Senate Graduate Studies Committee

Approved April 2, 2012 by the Faculty Senate Committee on Undergraduate Education

DEFINITION OF A CREDIT-HOUR

1. The assignment of credit-hours to a course occurs through a formal review process conducted at the appropriate levels of faculty governance.
2. For courses in lecture format, one credit-hour represents the subject content that can be delivered in one academic hour of contact time each week for the full duration of one academic semester (typically fourteen weeks) along with a final examination. For undergraduate courses, one credit-hour also includes associated work that can be completed by a typical student in 2-3 hours of effort outside the classroom. For graduate and professional courses taught in lecture format, 3-4 hours of outside work is expected for each academic hour of contact time.
3. For courses taught in other than lecture format (e.g., seminars, laboratories, independent study, clinical work, research, etc.), one credit-hour represents an amount of content and/or student effort that in aggregate is no less than that described in (2) above.

Background

The new Program Integrity rules issued by the U.S. Department of Education require CWRU to establish a definition of "credit hour." The definition is to apply to all of our degree programs (undergraduate through graduate/professional).

Boyd Kuhmer (University Compliance Officer) and Colleen Trembl (Office of General Counsel) reviewed the draft above, and indicated that this type of definition would be adequate for satisfying Program Integrity needs. However, the Faculty Senate needs to be consulted before CWRU could officially adopt any such definition. This item was referred to the FSCUE and its Curriculum Subcommittee for review and will also be reviewed by the Faculty Senate Committee on Graduate Studies.

Graduate Student Holiday, Vacation, Parental Leave and Sick Leave Policies

These policies apply to graduate students in the School of Graduate Studies who receive stipends that support their effort toward earning a degree during the period when they receive support. They represent the minimum to which graduate students are entitled.

If a graduate student receives a stipend, they will receive support for holidays, vacations, sick leave and parental leave as set forth below. The stipend support for those days will be at the same rate as for normal work days. For all anticipated leaves longer than two weeks, appropriate departmental approvals must be obtained and paperwork submitted to the Dean of the School of Graduate Studies prior to the start of the leave.

These policies do not supersede other University policies concerning attendance or residence at the University, e.g. participating in classroom activities as a student or teaching assistant. These policies only apply to student effort toward earning a degree.

Holidays. Graduate students are entitled to observe University closings for Holidays and other recognized events. The University currently recognizes 8 named holidays, 1 university designated holiday and 1 personal floating holiday.

Vacations. Graduate students are allowed two weeks of vacation per calendar year (10 traditional work days). Vacation days can be accrued from one year to the next year only with the prior written approval of the Program and only up to a maximum of 20 traditional work days, to allow for international travel, for example. There is no terminal leave.

The times between academic terms and the summer are considered part of the active training period and are not to be regarded as vacation time.

Sick Leave. Graduate students are entitled to two weeks (10 traditional work days) of sick leave per year, with no year-to-year accrual. Sick leave may be used for medical conditions related to pregnancy and childbirth. Under exceptional circumstances, additional sick leave days may be granted following receipt of a written request from a physician, and prior written approval by the Program.

Parental Leave. Graduate students are entitled to six weeks of parental leave per annum for the adoption or birth of a child. Either parent is eligible for parental leave. Parental leave must be approved in advance in writing by the Program. It is permissible to add parental leave and sick leave together to allow for eight weeks leave for the adoption or birth of a child.

Unpaid leave. Students who require additional leave beyond what is stipulated above, must seek prior written approval from the Dean of the School of Graduate Studies for an unpaid leave of absence. Approval for a leave of absence must be requested in advance by the student and the student should provide documentation for the leave request and obtain approval. Conditions for the leave and approval must be submitted to the Dean of the School of Graduate Studies. Continued coverage of health insurance is allowable as permitted within the guidelines of University Health Services and with written approval by the Program and Dean of the School of Graduate Studies.

Unused Leave. A student is not entitled to receive any form of compensation for any unused holidays, vacation days, sick leave, parental leave, and/or other accrued time off.

Disclaimers. These policies do not supersede any HR policy. In addition, these policies do not create a contractual relationship with any student and the policies may be amended at any time by the Faculty and the School of Graduate Studies.

*Approved by the Faculty Senate Committees on Graduate Studies and Research,
November, 2011*

April Announcements

The CWRU Graduate Student Senate has begun work on an initiative to compile a university-wide seminar calendar. We are working on this to (1) increase interdepartmental awareness of university seminars, (2) increase the ease of scheduling seminars by having a master schedule, and (3) create one centralized location in which every department's seminars are listed.

We have a template of our current work at the following link:

<https://sites.google.com/a/case.edu/case-western-reserve-university-seminar-calendar/>.

The website employs a Google calendar interface that is customizable to a user's needs. We are seeking participation from departments at all schools at Case to make this a more complete and useful tool. To join this calendar, you can e-mail gss-io@case.edu with a public Google calendar link.

Thank you for your participation! We hope that this tool will be of great benefit to the entire university.



CASE

SCHOOL OF DENTAL MEDICINE

School of Dental Medicine

Case Western Reserve University
10900 Euclid Avenue
Cleveland, Ohio 44106-4905

Phone 216-368-3200
Fax 216-368-3204
www.case.edu

April 4, 2011

Pamela B. Davis, M.D., Ph.D
Dean, School of Medicine
Case Western Reserve University
10900 Euclid Avenue
Cleveland, OH 44106

Dear Dean *Pam* Davis:

I wholeheartedly support the proposal for the combined degree program in dental medicine public health (DMD/MPH) at Case Western Reserve University. There is an urgent need for public health training programs, both nationally and locally; there are less than five such combined degree programs in the country. At the local level, 11 of the 60 underserved areas in Ohio are situated in Cuyahoga County. Populations living in underserved areas would tremendously benefit from appropriate oral health promotion programs as well as improved access to dental care. Public health dentists play an important role in administering these programs.

The combined degree program will enhance the mission of the Case School of Dental Medicine, "contributing new knowledge through research and scholarly pursuits". I also endorse the program's efforts to have the capstone experience at local public health agencies including community health centers. Since graduates of the program will most probably be working in public health settings, this capstone experience provide an excellent opportunity to address some of the oral health problems among vulnerable groups through both patient care, research and oral health promotion activities. The program will also complement the existing Healthy Smiles Sealant Program in which first-year dental students place pit-and-fissure sealants on the teeth of needy children in Cleveland Metropolitan School District, thereby improving access to dental care.

I commend the efforts to develop and implement the combined degree program in dental medicine and public health at the Case School of Dental Medicine, and I would like to reiterate my support and commitment to the program. If you have any questions about my support to the program, please feel free to contact me.

Sincerely,

Jerold S. Goldberg, DDS



SCHOOL OF DENTAL MEDICINE
CASE WESTERN RESERVE
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April 4, 2012

Gary S. Chottiner, PhD
President, Faculty Senate
Case Western Reserve University
10900 Euclid Avenue
Cleveland, OH 44106

Dear Dr. Chottiner:

I am writing to confirm that the DMD/MPH proposal was unanimously approved by the faculty of the School of Dental Medicine at its regular meeting on April 19, 2010. Prior to the approval by faculty at large, the proposal was also endorsed by the Dental Education Committee and the Graduate Studies Committee of the school. Due to the relatively smaller number of faculty at the school, we do not have a formal Faculty Council.

As stated in my letter dated April 4, 2011, to Dean Pamela Davis, the School of Dental Medicine and I most enthusiastically support this program because it enhances our mission "contributing new knowledge through scholarly pursuits". The DMD/MPH proposal received a five-year grant totaling nearly 1.3 million from the Health Resources and Services Administration (HRSA). The support includes stipend, tuition, and travel for the dual degree students. I believe DMD/MPH is one of the few dual degree programs with external funding.

I thank the Faculty Senate's consideration of this dual degree proposal which has the unwavering support of the faculty and administration of the School of Dental Medicine. Should you have any questions or need additional information, please feel free to contact me.

Sincerely

A handwritten signature in cursive script that reads "Jerold S. Goldberg".

Jerold S. Goldberg, DDS
Dean

Memorandum

Pamela B. Davis, M.D., Ph.D.
Dean
Vice President for Medical Affairs
Office of the Dean

10900 Euclid Avenue
Cleveland, Ohio 44106-4915

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Biomedical Research Bldg - Rm 113

Phone 216.368.2825

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<http://casemed.edu>

To: Pamela B. Davis, M.D., Ph.D.
Dean, School of Medicine

From: Jill Barnholtz-Sloan, Ph.D.
Chair, Faculty Council 2011-2012



Date: January 24, 2012

Re: Proposal for the Dual Degree Program in Dental Medicine and Public Health
(DMD/MPH)

At its meeting on January 23, 2012, Faculty Council reviewed the proposal for the Dual Degree Program in Dental Medicine and Public Health (DMD/MPH).

The dual degree program in Dentistry and Public Health at CWRU seeks to impart content and skills necessary to expand the practice of dentistry into the community in a proactive way that fosters improved oral health, and as a direct result, yields improved overall health of the populations involved. Traditionally, the field of dentistry has approached the oral health of individuals in the context of the one-on-one doctor-patient relationship. We anticipate that participation in the dual degree program will enhance preventive dentistry skills in the office setting, but most importantly, focus on improving the health of populations through community intervention.

The need for public health dentists has increased recently because of the decline in the number of dental graduates and an increase in the number of dental health professional shortage areas (DHPSA). The number of dental graduates has decreased from 6300 to 4700 between 1977 and 2008. During the last decade the number annually has increased from 1275 to 2000 and the population impacted by this trend increased from 28 to 48 million.

Faculty Council concluded the Dual Degree Program in Dental Medicine and Public Health an interesting and exciting opportunity for collaboration between programs. By a vote of 33 in favor; 0 against, 0 abstain, the proposal was recommended for approval.

Please review the proposal and add any additional comments; then forward to the University Faculty Senate for its review and recommendation.

Thank you.



SCHOOL OF MEDICINE

CASE WESTERN RESERVE
UNIVERSITY

Pamela B. Davis, M.D., Ph.D.
Dean
Vice President for Medical Affairs
Office of the Dean

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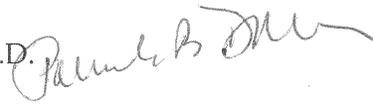
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<http://casemed.edu>

Memorandum

To: Gary Chottiner, Ph.D.
Chair, Faculty Senate

From: Pamela B. Davis, M.D., Ph.D.
Dean, School of Medicine



Date: January 25, 2012

Re: Proposal for the Dual Degree Program in Dental Medicine and Public Health
(DMD/MPH)

Enclosed please find a proposal for a new Dual Degree Program in Dental Medicine and Public Health to award the DMD and MPH degrees. The program has been recommended for approval by the Faculty Council of the School of Medicine, acting under our Bylaws for the Faculty of Medicine, and has my enthusiastic endorsement.

I understand that the process for further review includes oversight by the Faculty Senate's Graduate Studies Committee and the Faculty Senate as a whole. Please let me know if I can provide any additional information.

Thank you for your consideration.

C: (all w/o enclosures): Jill Barnholtz-Sloan, Ph.D.
Scott Frank, Ph.D.
Sena Narendran, BDS, MPH



SCHOOL OF MEDICINE

CASE WESTERN RESERVE
UNIVERSITY

**Proposal for the Dual Degree Program in
Dental Medicine and Public Health
(DMD/MPH)**

*Scott Frank
Sena Narendran*

October 25, 2011

Background:

The Case School of Dental Medicine (CSDM) offers a rigorous 4-year degree resulting in graduates who are competent to practice dentistry. In addition, Case Western Reserve University (CWRU) offers a master's degree in public health (MPH), which is administered by the School of Graduate Studies and is housed in the School of Medicine (SOM); completion of the MPH degree requires 42 credit hours. CWRU also offers numerous joint degree programs such as MD/MPH, JD/MPH, MD/PhD; including 6 current dual degrees with the MPH (medicine, nursing, anthropology, business, law, bioethics). Most of the constituent schools at CWRU offer dual-degrees in affiliation with the MPH program. Dental public health is one of the nine recognized specialties of the American Dental Association. The dental curriculum lends itself to a dual degree with public health as evidenced by the CSDM's existing community-oriented programs: the Dental Sealant Program and other similar cornerstone experiences.

Justification:

CSDM maintains a strong philosophical and strategic commitment to improving the oral health of the community. Affiliation with the MPH Program would provide a curricular framework in which to realize that commitment on behalf of the dental students who elect to pursue a dual DMD/MPH degree. The dual degree program in Dentistry and Public Health at CWRU seeks to impart content and skills necessary to expand the practice of dentistry into the community in a proactive way that fosters improved oral health, and as a direct result, yields improved overall health of the populations involved. Traditionally, the field of dentistry has approached the oral health of individuals in the context of the one-on-one doctor-patient relationship. We anticipate that participation in the dual degree program will enhance preventive dentistry skills in the office setting, but most importantly, focus on improving the health of populations through community intervention. Oral health necessarily involves facilitation of preventive behaviors through purposeful efforts to influence lifestyle of patients and populations. Since wellness is based largely on individual lifestyle choices; and since the health care delivery system is focusing more on collaborative self-management populations; and since prevention is becoming an increasingly compelling imperative; it is clear that dentistry and public health are inexorably linked. Dental practice provides the path to public health needs, and public health provides solutions to those needs identified through the practice of dentistry. It is necessary to address populations to improve the health of individuals and to work with individuals to improve the health of populations. Dentistry and public health are interdependent, reliant on each other in order to achieve their mutual goals.

The need for public health dentists has increased recently because of the decline in the number of dental graduates and an increase in the number of dental health professional shortage areas (DHPSA). The number of dental graduates has decreased from 6300 to 4700 between 1977 and 2008. During the last decade the number of DHPSAs has increased from 1275 to 2000 and the population impacted by this trend increased from 28 to 48 million. At the state level, 11 of the 60 dental HPSAs in Ohio are in Cuyahoga County. With the passage of health care reform, a tremendous need for primary dental care training (general, pediatric, and public health dentistry) exists. HRSA reiterated this need by issuing two request for proposals (RFP) in April 2010; for post- and pre-doctoral training in dental public health. CSDM is now the recipient of both

funding sources (see “New Resources” below). The proposed dual degree program will be under the auspices of the pre-doctoral training. Partnership between CSDM and the MPH program in post-doctoral training furthers the critical mass of public health/dental medicine students and the opportunities for collaboration between programs.

Program Objectives:

- To enhance public health/dental student capacity to address health needs of the individual and of populations
- To enhance public health/dental student skill in health promotion and disease prevention through detailed understanding of health behavior and health communication principles
- To increase the ability of the public health/dental students to apply epidemiological and biostatistical precepts to dental populations
- To expand the public health/dental student knowledge base to include public health practice, community assessment and intervention in addition to individual diagnosis and treatment
- To expand public health/dental student understanding of health care systems and the role of the dentist in the equitable provision of dental services; health policy; health advocacy; and health administration

We envisage the combined DMD/MPH program will be five years in duration, and completion of the MPH part of the program will require 42 credit hours¹ that will include:

- | | |
|--|-----------|
| • Core courses | 18 hours* |
| • MPH Major Courses (9 credits required): | |
| ○ Outreach Preventive Dentistry: A Cornerstone Experience (ACE) ² | 6 hours |
| ○ MPHP approved Health Promotion, Disease Prevention Course | 3 hours |
| • MPH Seminars | 0 hours* |
| • Others/electives | 6 hours* |
| ○ Health, Science, and Society Module (HSS) ³ | 3 hours |
| ○ MPHP elective | 3 hours |
| • Capstone Experience/Project | 9 hours |

¹A total of 9 School of Dental Medicine credit hours will count toward the course requirements of the MPH degree.

²Cross counted course from School of Dental Medicine approved to count toward the MPH Major in Health Promotion and Disease Prevention.

³Cross counted course from School of Dental Medicine approved to count as an MPH elective, but not toward the MPH Major in Health Promotion and Disease Prevention.

As a routine, the DMD/MPH students will be entered into the Health Promotion Disease Prevention Major of the MPH program, with Outreach Preventive Dentistry an approved course for this major, leaving an additional 3 credits required for completion of the HPDP major. The Dental Medicine Course Health, Science, and Society will be accepted as an MPH program elective, leaving an additional 3 hours of elective time. Because the Outreach Preventive Dentistry (6 credit hours) course is only approved for the Health Promotion Disease Prevention Major, DMD/MPH students choosing a major other than Health Promotion and Disease

prevention (Population Health Research, Global Health, or Health Policy) are likely to need additional credit hours beyond the required 42 hours to complete Major requirements.

The CWRU Capstone Experience is “a public health field practicum that places students in health related settings to work on projects of mutual interest to the agency and student. The experience gives students the opportunity to apply the knowledge and skills acquired through academic course work to a problem involving the health of the community.” Thus, a dental student in the DMD/MPH program will be required to complete 24* hours of core and elective courses of the MPH program (i.e., the courses indicated by the * in the chart above), in addition to the ACE, HSS, and the capstone project. Please see the attached syllabus for the Outreach Preventive Dentistry (MAHE 145), which is A Cornerstone Experience (ACE) for the first year dental students at the Case School of Dental Medicine. The syllabus for Health, Science and Society module (LDRS 111) is also attached. The requirement, 24 hours, can be completed in two semesters (referred to as the MPH dedicated year) based on the attainable graduate school course load of 12-15 hours per semester. These 24 didactic hours can be completed through any one of the following models during the five year period:

- MPH dedicated learning during year 1 (before initiating the DMD) program followed by the standard DMD program (Model 1).
- Between Year 2 and 3 of the five-year program, i.e. after completing the second year of the DMD program (Model 2).

The preferred approach is Model 1 with Model 2 included to add flexibility to the combined degree program and also to accommodate students who become interested in public health after entering the CSDM. Model 1 is preferred because of the high level of need to develop, practice, and maintain manual dexterity skills inherent to the practice of dental medicine. An uninterrupted approach to skill development provides a natural advantage to learners. Students electing DMD/MPH program Model 1 will complete a major portion of the Capstone Project during the summer between the first and second of the five-year program. Any remaining capstone activities can be completed during the rest of the DMD program.

Students adopting DMD/MPH program Model 2 will complete a part of the capstone project during the summer between the second and third year of the five-year program. The remainder of the Capstone Project can be completed during the following two years of the DMD program. Model 2 is similar to existing programs such as the MD/MPH and DMD/MS. The latter is a combined degree program in dental medicine and clinical research. The MD/MPH program has been in place for many years with a long tradition of success.

Tuition:

Of the five years that students would be enrolled in the dual DMD/MPH Program, one year will be devoted exclusively to the MPH coursework (24 credit hours), and four years will be dedicated exclusively to DMD clinical study and coursework. We agree that the simplest approach to tuition management for the normal scenario for a dual DMD/MPH degree student will be as follows:

During the MPH dedicated year, (usually the first year of the five year sequence), students will register and pay tuition through the School of Graduate Studies at the rate set by Case Western Reserve University. Tuition revenue for the dedicated MPH year will return to the Department of Epidemiology & Biostatistics through the normal mechanisms. If the MPH-dedicated year occurs during the student's third overall year in the dual degree program, and the student is home-based in the DMD program, current university policy would require the student to take a leave of absence from the DMD program in order to register and be billed at the School of Graduate Studies tuition rate. This policy states that a student may not be simultaneously enrolled in two schools (professional school plus graduate school). The leave of absence approach is used presently with other professional schools in order to complete dual degrees. During the other four years of study, students will register and pay tuition through the School of Dental Medicine at the school's going rate. Through the existing mechanisms, the tuition for those four years will return to the School of Dental Medicine through the normal mechanisms.

Mentoring and Academic Advising:

CSDM: The Department of Community Dentistry has six full-time faculty members, two of them (Drs. Lalumandier and Narendran) are Diplomates of the American Board for Dental Public Health, two others are epidemiologists (Drs. Demko and Nelson), one member has an MPH degree (Dr. Williams), and another has expertise in behavioral sciences. Dr. Narendran, co-director of the DMD/MPH program will have the primary responsibility of mentoring the dental students in the program. Dr. Narendran has excellent mentoring skills that are apparent from the list of awards won by dental students from Case Western Reserve University during the last four years or so (Appendix C). He has a similar track record at the previous institutions he has worked. We will constitute an advisory committee for each dental student enrolled in the DMD/MPH program and the committee will include at least one faculty member from the Department of Epidemiology and Biostatistics or from another school on campus. In addition to the aforementioned faculty members in the Department of Community Dentistry, two other faculty members at the School of Dental Medicine have MPH degrees: Drs. Gerald Ferretti and Lance Vernon. If needed, each may serve as members of the advisory committee of the DMD/MPH program. The advisory committee for a DMD/MPH program student may also serve as his/her Capstone Committee during the experience.

MPH: The MPH program has a system for academic advising that includes assignment of two advisors upon entering the program, allowing the student to choose their preference. The MPH Program Director will be one of the two academic advisors offered to DMD/MPH students. Other advisors can be selected from among core faculty and coordinators of the MPH Majors.

Applicant Pool:

Students for the combined DMD/MPH program will be selected from the applicant pool of the CSDM, which is approximately 3000 per year. While the number of dental graduates has declined, the number of applicants per school has not. For the application cycle, 2010-11, CSDM received 2843 applications. The anticipated enrollment for the DMD/MPH program is two dental students per year.

Admission Protocol:

Applicants to the DMD/MPH program must fulfill the requirements for both the DMD (see <http://dental.case.edu/dmd/>) and MPH programs (see <http://mph.case.edu/admissions.html>). Separate applications must be submitted to the School of Medicine for DMD degree and to the Graduate School for the MPH degree. Applicants must be accepted by both the programs to be enrolled in the dual degree. Admission to the DMD program does not entail automatic admission to the MPH program and vice versa. The admission process will occur independently within each program, with a letter of support from CSDM required for any applicant to the CWRU MPH program. Selected faculty members from the MPH program and the School of Dental Medicine will review final admissions decisions for the DMD/MPH program.

Capstone Experience:

Students in the DMD/MPH program will complete their capstone projects in any of the local public health agencies, and will be particularly encouraged to consider community health centers offering dental health services.. The capstone for the DMD/MPH student will hold the same requirements as for MPH students and students in other dual degree programs. The Capstone Experience is the centerpiece of the CWRU MPH Program. A Public Health field practicum required of all MPH students, this 9-credit course places students in health related settings to work on projects of mutual interest to the agency or organization and the student. The experience gives students the opportunity to apply the knowledge and skills they have acquired through their academic course work to a problem involving the health of the community. Students learn to communicate with target groups in an effective manner, to order priorities for major projects according to definable criteria, to use computers for specific applications relevant to public health, to identify ethical, social, and cultural issues relating to public health policies, research and interventions, to identify the process by which decisions are made within the organization or agency, and to identify and coordinate the use of resources at the site.

All DMD/MPH students will designate a Capstone Committee consisting of at least 3 members. Their Capstone Committee must include at least one member of the CSDM faculty and one member of the CWRU MPH program faculty; with the third member generally from the Capstone site where the project is conducted.

The outcomes of the capstone experience for the DMD/MPH program will include an oral presentation and a written report. Both products will be evaluated by the student's Capstone Committee. Similar to the first year dental student summer research projects, we will require the DMD/MPH program students to present their capstone experience at a national meeting and at the School of Dental Medicine Professional Day. DMD/MPH students will also be required to present their project at the MPH Population health innovations Conference, offered at the end of fall and spring semesters. We will also encourage the students to submit a manuscript for publication in a peer-reviewed journal.

New Resources:

During July 2011, Health Resources and Services Administration (HRSA) awarded a five-year grant totaling \$1,281,653.00 to the Case School of Dental Medicine (CSDM) for Pre-doctoral training in Dental Public Health. Dr. Sena Narendran, co-author of this DMD/MPH program proposal, is the principal investigator of this grant. The grant will pay stipend, tuition, and travel expenses for one DMD/MPH student in the first year and two students per year during the subsequent four years of the grant. The grant also includes partial faculty and administrative support to the program. CSDM also received yet another 5-year grant of \$1,294,564.00 for post-doctoral training in dental public health with Dr. Narendran as the principal investigator. The second grant will pay stipend, tuition, and travel expenses for dental public health residents along with partial faculty and administrative support. Thus during the last month CSDM received two training grants for dental public health totaling to nearly 2.6 million dollars.

Sample Template for Course Schedule for DMD/MPH, Model 1

<u>Course Name (*indicates core)</u>	<u>Credits</u>	<u>Course #</u>
<u>Year 1, fall</u>		
*Statistical Methods in Public Health	3	MPHP 405
*History & Philosophy of Public Health	3	MPHP 406
*Epidemiology: Introduction to Theory & Methods	3	MPHP 490
Health Disparities	3	MPHP 510
*Future of Public Health	0	MPHP 506
Total Credits	12	
<u>Year 1, spring</u>		
*Introduction to Health Behavior	3	MPHP 411
*Epidemiology of Environmental Health	3	MPHP 429
*Health Management & Policy	3	MPHP 439
Community Interventions & Program Evaluation	3	MPHP433
*Building a Public Health Capstone	0	MPHP 507
Total Credits	12	
<u>Year 1, summer</u>		
*Capstone Experience	3-6	MPHP 652
<u>Year 2, fall</u>		
First Year DMD Curriculum		
Sealant ACE	6	MAHE 145
Health Science & Society	3	LDRS 111
<u>Year 2, spring</u>		

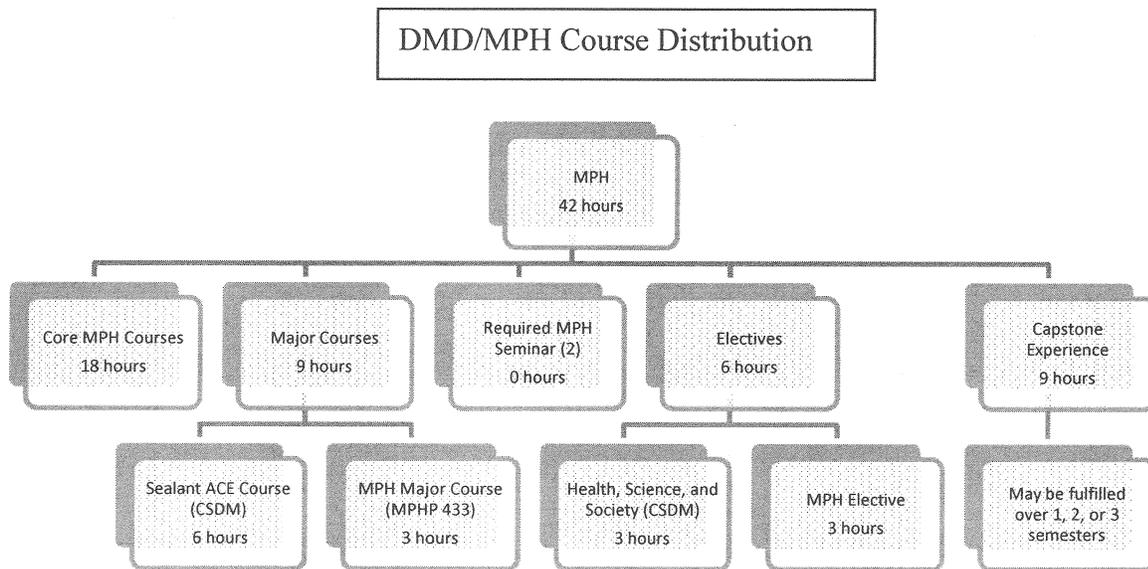
First Year DMD Curriculum

Year 2, summer

*Capstone Experience **3-6** MPHP 652

Years 3-5: Regular DMD Curriculum of years 2-4

*Capstone Experience **3-6** MPHP 652



Sample Template for Course Schedule for DMD/MPH, Model 2

Course Name (*indicates core)	Credits	Course #
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Year 1, fall

First Year DMD Curriculum

Sealant ACE	6	MAHE 145
Health Science & Society	3	LRDS 111

Year 1, spring

First Year DMD Curriculum

Years 2: Second Year DMD Curriculum

Year 3, fall

*Statistical Methods in Public Health	3	MPHP 405
*History & Philosophy of Public Health	3	MPHP 406
*Epidemiology: Introduction to Theory & Methods	3	MPHP 490
Health Disparities	3	MPHP 510
*Future of Public Health	0	MPHP 506
Total Credits	12	

Year 3, spring

*Introduction to Health Behavior	3	MPHP 411
*Epidemiology of Environmental Health	3	MPHP 429
*Health Management & Policy	3	MPHP 439
Community Interventions & Program Evaluation	3	MPHP433
*Building a Public Health Capstone	0	MPHP 507
Total Credits	12	

Year 3, summer

*Capstone Experience	3-6	MPHP 652
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Years 4-5

Regular DMD curriculum: years 2-4

*Capstone Experience	3-6 Credits/year	MPHP 652
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**CASE WESTERN RESERVE UNIVERSITY
SCHOOL OF DENTAL MEDICINE
Fall 2010**

COURSE TITLES:	Health, Science, & Society
COURSE NUMBERS:	LDRS 111
DEPARTMENT:	Community Dentistry
SEQUENCE YEAR:	First
CLOCK HOURS:	
LDRS 111 (Didactic)	40
DIRECTOR:	Dr. Catherine Demko, PhD
Supplemental Faculty	Dr. James Lalumandier, DDS, MPH
OFFICE and CONTACT INFO	Room 217, 216-368-8804 catherine.demko@case.edu

COURSE DESCRIPTION:

This 3 week intensive sequence concerning health and society will provide a frame for the student to view his or her professional education based on the mission of the profession: "to protect and improve the oral health of individuals and the society." This three week sequence provides the first experience with the problem-based learning format and further provides the content foundation in epidemiology and skills for evidence-based dentistry.

COURSE GOALS:

The overall goal of the program is to provide information and orientation concerning the role of health, oral health, and the dentist in the maintenance and improvement of health of individuals and the society. Learning is organized around (1) four public health paradigms, (2) the health field theory of LaLonde, (3) epidemiological principles in clinical and population-based health, and (4) basic ethical principles of professional care. The problem-based cases will illustrate the four paradigms and the elements of the health field theory. They will also require the discussion of ethical principles and further demonstrate the application of the epidemiological principles taught in the lecture portion of the course. The topics in the small group PBL sessions will be reinforced with full-class presentations by guest experts using various formats (interviews, question and answer sessions, debates). Students will be expected to prepare reflection papers or complete class assignments from PBL cases as assigned.

General COURSE OBJECTIVES: By the end of this course, the student will:

1. Identify the role of dentistry in society and public health.
2. Define four basic principles of professional ethics.
3. Define barriers to access to health care.
4. Identify and describe the mechanism of action of fluoride and state the optimal fluoride intake.
5. Understand and apply a multi-factorial approach to dental caries.
6. Define the objectives of the epidemiologic method.
7. Apply epidemiological measures of incidence, prevalence and rates to systemic and dental morbidity; mortality.
8. Describe the epidemiology of oral disease by demographics and risk factors.
9. Distinguish association from causality.
10. Define reliability and validity in study design and study measures.
11. Define and recognize types and sources of bias and confounding in study measures.
12. Define and compute the sensitivity and specificity of a diagnostic test.
13. Understand the meaning of a confidence interval around a point estimate.
14. Define the relationship between sample size, confidence intervals and effect size.
15. Distinguish clinical from statistical significance.
16. Define the principles of Evidence-Based Dentistry (EBD).
17. Build a searchable clinical question using the PICO technique.
18. Examine the levels of evidence for EBD; perform the steps to critically appraise a journal article.
19. Explain how epidemiological evidence identified risk factors for an oral disease.
20. Understand the distribution and determinants of risk factors in a population.

Learning Objectives for the Problem-based cases are not included here, as they are part of the learning process in the PBL sessions and will be released on Fridays.

PREREQUISITE: None

FORMAT: Lecture & Problem Based Learning.

OUTCOME ASSESSMENT:

The students

1. must attain the minimum competency of 70% on all didactic summative (final) examinations.
must attain a minimum of 65% on formative quizzes/assignments prior to taking the didactic summative examination
2. must attain the minimum competency of 70% on the Fresno Competency Exam.

GRADE SCALE:

Didactic ≥ 70 = Pass < 70 FAIL

- Grade adjustments will be made to a test if there was an error in calculation or in cases where the incorrect answer(s) were keyed.
- Discussions of test items with faculty are always encouraged; grade changes to Summative Evaluations will be made only if accompanied by written (word processor) description of rationale and reference (not just citation). This must be submitted within 1 week of the returned examination. No more than 3 test items will be reviewed.

COURSE REQUIREMENTS:

Students are required to take tests and exams (formative and summative) on the days indicated in the syllabus. In accordance with school policy, absences are:

1. Excused – in case of illness documentation from the treating physician must be presented. A new test will be administered. Format and time will be at the discretion of the faculty.
2. Unexcused – when a student fails to give notification of an absence which can be predicted to be absolutely unavoidable, or fails to present an appropriate excuse. In most cases, an unexcused absence would result in a zero score for the particular test.

REMEDIATION:

Fall Semester: Should a student earn a failing grade, he/she may have an opportunity to remediate and retest after Thanksgiving Break. This will occur ONLY after the Student Promotions Committee has met and made a recommendation for Remediation.

If a student does not pass the remediation – s/he must repeat the course. The students must complete all aspects of Remediation Course, and score at least a 70% on the remediation test.

ATTENDANCE POLICY:

Attendance in class is expected. Failure to attend class with subsequent failure of the exams does not warrant remediation. In accordance with school policy, students who habitually fail to attend class will be denied tutoring through CWRU School of Dental Medicine.

Required TEXTS:

Texts included in VitalSource digital library.

Gordis, L. Epidemiology. Third Edition. 2004. Elsevier Sanders

Jekel JF, Katz DL, Elmore JG and Wild DMG. Epidemiology, Biostatistics, and Preventive Medicine. Third Edition. 2007. Elsevier Sanders

Hackshaw A, Paul E, and Davenport E. Evidence-Based Dentistry: An Introduction. First Edition, 2006. Blackwell Munksgaard.

Health, Science, & Society
SCHEDULE 1st SEMESTER (Fall 2010)

DATE	LECTURE/PBL
Session 1 Mon. Aug. 9	8 – 9 am Administration of the HSRT 9 - 10am Introduction to Health, Science and Society: Public and Population Health (1 hour) Instructor: Dr. Demko
Session 2 Mon. Aug. 9	10-12 pm PBL: Fluoridation
Session 3 Tues. Aug. 10	8 – 10 am Guest Lecture
Session 4 Weds. Aug. 11	8-10am PBL: Fluoridation
Session 5 Thurs. Aug. 12	10-12 Fundamentals of Epidemiology: Incidence and Prevalence (1 hr) Oral Health Epidemiology (1hr)
Session 6 Fri. Aug. 13	10am -12pm PBL Fluoridation
Session 7 Fri. Aug. 13	1-3 pm Observational Studies: Design Issues (1 hr) Observational Studies: Analysis (1 hr)
Session 8 Mon. Aug. 16	8-10 am (2 hour) PBL: "It's Just a Tooth"
Session 9 Mon. Aug. 16	10-12 pm Examining Associations (1hr) Statistical Literacy (1hr)
Session 10 Tues. Aug. 17	8-10 am Experimental Studies: Design Issues (1hr) Experimental Studies: Analysis (1hr)
Session 11 Wed. Aug.18	8-10 am PBL: "It's Just a Tooth"
Session 12 Thursday. Aug.19	10-12 am Detecting Disease: Screening and Diagnostics (1hr) Systematic Reviews (1hr)
Session 13 Fri. Aug.20	10 am-12 pm PBL: "It's Just a Tooth"
Session 14 Fri. Aug.20	1-3 pm (2 hour) Guest Lecture

Session 15 Mon. Aug.23	10-12 pm (2 hour) PBL: Where's Spot: An Oral Cancer Case
Session 16 Tues. Aug.24	8am -10 am Critical Appraisal of the Literature (1hr) Evidence-based Dentistry (1hr)
Session 17 Wed. Aug. 25	8am – 10 am PBL: Where's Spot: An Oral Cancer Case
Session 18 Thurs. Aug. 26	10am -12pm Review
Session 19 Fri., Aug. 27	10 am–12 pm (2 hour) PBL: Where's Spot: An Oral Cancer Case
Session 20 Wed., Sept 1.	FINAL EXAM (3 hrs: 3-6 pm)

**CASE WESTERN RESERVE UNIVERSITY
SCHOOL OF DENTAL MEDICINE
Fall 2010**

COURSE TITLES:	Outreach Preventive Dentistry Course
COURSE NUMBERS:	MAHE 145
DEPARTMENT:	Community Dentistry
SEQUENCE YEAR:	Freshman
CLOCK HOURS:	62
	(Didactic, Lab & Clinical)
OUTREACH CLINIC HOURS:	100
DIRECTOR:	Kristin Williams, DDS, MPH
SUPPORTING INSTRUCTIONAL STAFF:	James Lalumandier, DDS, MPH
OFFICE and CONTACT INFO	2nd floor , 216 368 2392 kaw14@case.edu

COURSE DESCRIPTION:

The didactic portion of the course provides generalized background and current tools needed to enable students to provide dental sealants and other preventive procedures for children in the Cleveland Metropolitan School District (CMSD).

COURSE GOALS:

1. The student will develop an understanding of ergonomics, chair positioning and dental assisting.
2. The student will develop the skills necessary for applying fluoride varnish and fabricating mouth guards.
3. The student will develop the skills necessary for the delivery of dental sealants to the students of CMSD.
4. The students will acquire a fundamental knowledge of the conditions, medications found within the CMSD students and the student will be prepared to identify risk factors associated with common medical emergencies.
5. The student will acquire a fundamental knowledge of the epidemiology and mechanism of dental disease found in children.
6. The student will develop skills necessary for prevention practices and behavior management in children.
7. The student will develop a fundamental knowledge and develop necessary skills to practice correct infection control procedures in an outreach setting.
8. The student will develop skills to set-up, break-down and work with portable

- equipment in an outreach dental setting.
9. The student will develop the skills necessary to treat patients in a multi-cultural setting understanding the impact and responsibility of the dental professional and the role of public health dentistry in our society.

COURSE OBJECTIVES:

By the end of this course, the student will:

1. Describe ergonomically correct chair positioning, aspiration and retraction techniques. (D4)
2. Prepare and place dental sealants to the occlusal surfaces of permanent molar teeth in children.(M2)
3. Identify non-carious, permanent molars in children which are a candidate for dental sealants. (H3)
4. Identify and describe potential medical emergencies and common medications taken by children. (M6)
5. Fabricate custom mouth guards using molds of their own mouth. (L4)
6. Identify proper technique and placement of fluoride varnish. (L6)
7. Describe the importance of preventing dental injuries.(L10)
8. Describe and reproduce correct infection control procedures in an outreach setting.(L1)
9. Describe and implement the ethical responsibilities of a dental practitioner in treating a diverse population. (L3)
10. Describe the epidemiology and mechanism of dental disease and prevention practices for children. (H2)

Reviewed and revised 7-14-2008

CORE CWRU COMPETENCIES:

This course provides didactic instruction that is designed to furnish foundation knowledge that is necessary for the development of a number of CWRU School of Dental Medicine Competencies. The successful completion of this course contributes to the development of the following competencies:

- H.2 Apply appropriate interpersonal and communication skills (*CODA 2-17*)
- H.3 Apply preventive strategies for patients based on their oral health status and risk factors (*CODA 2-25c*)
- H.4 Apply biological, clinical, and behavioral principles in patient-centered oral health care. (*CODA 2-16*)
- M.1 Recognize the principles involved in community interventions to improve oral health and general health, and participate in clinical experiences in oral health improvement (*CODA 2-25c*)
- M.4 Demonstrate knowledge of common drugs used in dental and medical situations related to the practice of dentistry (*CODA 2-25e*)

COURSE DEFICIENCY POLICY:

Professional behavior is part of the grade. Laboratory & Clinical: All students must complete an approved sealant in both clinic and lab. The student will repeat the procedure until they are deemed competent in sealant placement. Students must submit all projects when due. More than one late project will result in failure (and remediation) in laboratory portion of the course.

REMEDICATION:

Fall Semester: Should a student earn a failing grade, he/she may have an opportunity to remediate and retest after Thanksgiving Break This will occur ONLY after the Student Promotions Committee has met and made a recommendation for Remediation.

If a student does not pass the remediation – s/he must repeat the course. The students must complete all aspects of Remediation Course, and score at least a 70% on the remediation test.

ATTENDANCE POLICY:

Attendance in class is expected. Failure to attend class with subsequent failure of the exams does not warrant remediation. In accordance with school policy, students who habitually fail to attend class will be denied tutoring through CWRU School of Dental Medicine.

Required TEXTS:

Online Vital source Library.

Jong's Community Dental Health, 5th Edition

Dentistry, Dental Practice, and the Community by Brian A. Burt and Stephen A. Eklund.

**SCHEDULE FOR MAHE 145
OUTREACH PREVENTIVE DENTISTRY COURSE**

(Lecture Room NOA250/290 and Sim Clinic)

<u>DATE</u>	<u>TIME</u>	<u>LECTURER</u>	<u>LECTURE TOPIC</u>	<u>ROOM #s</u>
August 11, 2010 Weds.	1:00–2:00 p.m.	Drs. Lalumandier	Introduction and Sealant Video	NOA250
	2:00– 3:00 p.m.	Drs. Lalumandier and Williams	Introduction of Dental Sealant Faculty and Staff	NOA250
		Angela Harris & Lisa Jevack	Health Educator (2 nd , 3 rd , and 6 th Graders)	
		Sherry Norman	Health Educator (Pre-K, K and 1 st Graders) Referral Coordinator	
	3:00 p.m. – 5:00 p.m.	Dr. Williams	Ergonomics	NOA250
August 13, 2010 Fri.	3:00 p.m. – 5:00 p.m.	Dr. Ferretti	Epidemiology and Mechanisms of Dental Disease and Prevention Practices for Children and Fluoride Varnish Technique	NOA250
August 18, 2010 Weds.	1:00 pm – 3:00 pm	Sealant Faculty and Staff Dr. Williams	Alginate Impression (Groups I, II, III)	West Lab
	3:00 p.m. – 5:00 p.m.	Dr. Williams	Demonstration of Dental Assisting	NOA 250
August 20, 2010 Fri.	3:00– 5:00 p.m.	Chandra Drews	Fluoride Varnish Experience (Group I)	Sim Lab
		Sealant Staff	Dental Assisting Experience (Group II)	NOA 250
August 25, 2010 Weds.	1:00 pm – 3:00 pm	Dr. Williams	Acid-Etch Technique in Caries Prevention Pit and Fissure Sealants and Demonstration	NOA250
	3:00 p.m. – 5:00 p.m.	Dr. Faddoul	CPR	NOA250
August 27, 2010 Fri.	1:00 pm – 5:00 pm	Chandra Drews	Fluoride Varnish Experience (Group II)	Sim Lab
		Sealant Staff	Dental Assisting Experience (Group III)	NOA 260
		Dr. Faddoul Chandra Drews	CPR Hands-On (Group I) Fluoride Varnish Experience (Group III)	NOA 290 Sim Lab
		Sealant Staff	Dental Assisting Experience (Group I)	NOA 260
		Dr. Faddoul	CPR Hands-On (Group II)	NOA 290
August 31, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Faddoul	Infection Control	NOA290

September 3, 2010 Fri.	3:00 p.m. – 5:00 p.m.	Dr. Ferretti	Behavior Management with Children	NOA290
September 7, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Narendran	Cariology	NOA 290
September 10, 2010 Fri.	3:00 p.m. – 5:00 p.m.	Dr. Lalumandier Dr. Houston	Sealant LAB Exercise (Group I)	Sim Lab
September 14, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Lalumandier	MIDTERM TEST	Sim Lab & West Lab
September 17, 2010 Fri.	3:00 – 5:00 p.m.	Dr. Lalumandier Dr. Williams	Sealant LAB Exercise (Group II)	Sim Lab
September 21, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Jurevic	Common Medical Conditions & Medications	NOA 290
September 24, 2010 Fri.	3:00– 5:00 p.m.	Dr. Lalumandier Dr. Houston	Sealant LAB Exercise (Group III)	Sim Lab
September 28, 2010 Tues.	1:00– 2:00 p.m.	Dr. Jurevic	Common Medical Conditions & Medications	NOA 290
	2:00– 3:00 p.m.	Dr. Jim Houston	Diagnodent Lecture & Demonstration	NOA 290
October 1, 2010 Fri.	3:00– 5:00 p.m.	Dr. Lalumandier Dr. Williams	Sealant Placement (Group I)	Ortho Clinic
October 5, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Coreno & Dr. Brett	Importance in Preventing Dental Injuries & Lab Demonstration on Custom Mouthguards	NOA 290
October 8, 2010 Fri.	3:00– 5:00 p.m.	Dr. Lalumandier Dr. Houston	Sealant Placement (Group II)	Ortho Clinic
October 12, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Narendran	Public Health	NOA 250
October 15, 2010 Fri.	3:00– 5:00 p.m.	Dr. Lalumandier Dr. Williams	Sealant Placement (Group III)	Ortho Clinic
October 19, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Williams	Cultural Competency	NOA 250
October 22, 2009 Fri.	3:00– 5:00 p.m.	Dr. Lalumandier Dr. Houston	Sealant Placement (Group I)	Ortho Clinic
		Dr. Coreno & Dr. Brett	Mouthguard Fabrication (Group II)	Lab Room 216 (off West lab)
October 26, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Williams	Ethics	NOA 250

October 29, 2010 Fri.	3:00– 5:00 p.m.	Dr. Lalumandier Dr. Williams	Sealant Placement (Group II)	Ortho Clinic
		Dr. Coreno & Dr. Brett	Mouthguard Fabrication (Group II)	Lab Room 216 (off West Lab)
November 2, 2010 Tues.	1:00 pm – 3:00 pm	Greg Jagger	Portable Equipment Set-Up Procedures (Group I, II, III)	NOA 250
November 5, 2010 Fri.	3:00– 5:00 p.m.	Dr. Lalumandier Dr. Williams	Sealant Placement (Group III)	Ortho Clinic
		Dr. Coreno & Dr. Brett	Mouthguard Fabrication (Group I)	Lab Room 216 (off West Lab)
November 9, 2010 Tues.	1:00 pm – 3:00 pm	Dr. Williams	Ethics	NOA 250
November 12, 2009 Fri.	3:00– 5:00 p.m.	Dr. Williams	Consent/Medical History/Treatment Documentation	NOA290

SCHOOL BASED CLINICAL COMPONENT

**November 29, 2010 -
December 10, 2010**

and

**January 24, 2011 -
January 28, 2011**

SCHOOL –BASED CLINICAL COMPONENT

SCHOOL –BASED CLINICAL COMPONENT

Recent Student and Personal Awards, Sena Narendran

Student Awards at CWRU:

Ms. Jennifer Sanders, Junior Dental Student, Case Western Reserve University First Place, Predoctoral Dental Student Merit Award The American Association of Public Health Dentistry	2011
Ms. Jennifer Sanders, Junior Dental Student, Case Western Reserve University Gunther M. Hans Award for Oral Presentation, the 30 th Annual Professionals Day Case School of Dental Medicine, Case Western Reserve University	2011
Ms. Jennifer Sanders, Sophomore Dental Student, Case Western Reserve University American Public Health Association (APHA) Anthony Westwater Jong Memorial Community Dental Health Preprofessional Award	2010
Ms. Avni Maru, Sophomore Dental Student, Case Western Reserve University American Dental Education Association (ADEA)/Johnson and Johnson Preventive Dentistry Scholarship	2009
Ms. Ashley Gibbs, Junior Dental Student, Case Western Reserve University American Dental Education Association (ADEA)/Johnson and Johnson Preventive Dentistry Scholarship	2009
Ms. Avni Maru, Sophomore Dental Student, Case Western Reserve University Second Honors, Clinical Science Presentation, the 29 th Annual Professionals Day Case School of Dental Medicine, Case Western Reserve University	2009
Ms. Jean Felton, Junior Dental Student, Case Western Reserve University American Association for Dental Research Bloc Travel Grant	2008
Ms. Ami Maru, Junior Dental Student, Case Western Reserve University First Place, Predoctoral Dental Student Merit Award The American Association of Public Health Dentistry	2008
Ms. Ami Maru, Junior Dental Student, Case Western Reserve University Honorable Mention, Poster Competition, Research ShowCase	2008
Ms. Anita Bhavnani, Sophomore Dental Student, Case Western Reserve University Honorable Mention, Poster Competition, Research ShowCase	2007
Ms. Anita Bhavnani, Sophomore Dental Student, Case Western Reserve University American Dental Education Association (ADEA)/Listerine Preventive Dentistry Award	2007

Ms. Anita Bhavnani, Sophomore Dental Student, Case Western Reserve University International Association for Dental Research (IADR)/Colgate Prevention in Research Award	2007
Ms. Anita Bhavnani, Sophomore Dental Student, Case Western Reserve University Dentsply Student Clinician American Dental Association Award The 27 th Annual Professionals Day, Case School of Dental Medicine, CWRU	2007
Ms. Ami Maru, Sophomore Dental Student, Case Western Reserve University Second Honors, Clinical Science Presentation, the 27 th Annual Professionals Day Case School of Dental Medicine, Case Western Reserve University	2007

Personal Awards

Excellence in Teaching Award, National Dental Association	2003
Outstanding Service Award to promote Optimal Oral Health for All American Association of Public Health Dentistry	2005
Special Merit Award, American Association of Public Health Dentistry	2009

Office of the Dean
10900 Euclid Avenue
Cleveland, Ohio 44106-7164
Visitors and Deliveries
11235 Bellflower Road
Phone 216.368.2256
Fax 216.368.2850
msassdean@case.edu
<http://msass.cwru.edu/>

February 17, 2012

Martin Snider, Ph.D.
Chair, Graduate Studies Committee
CWRU Faculty Senate
10900 Euclid Avenue
Cleveland, OH 44106

Dear Dr. Snider:

Public health social work programs are some of the oldest dual degree programs in schools of social work in the U.S. MSASS envisions that, similar to two dozen professional graduate programs in social work, we are embarking upon expanding career options for social workers through collaboration with the Public Health degree program in the School of Medicine.

The Mandel School of Applied Social Sciences (MSASS) Faculty voted unanimously to approve a proposal for a MSSA/MPH dual degree program at a Constituent Faculty Meeting on October 11, 2010.

Two faculty members, Sharon Milligan, Associate Dean for Academic Affairs, and David Miller, Chair, Health concentration, were appointed to work on the MPH degree program and to present the dual degree program to the School of Medicine. As stated in this dual degree proposal, the Mandel School is committed to recruit and admit students from all over the U.S. with an interest in public health social work as an area of practice. In addition, we are committed to full implementation with faculty involvement in the program once it is approved.

As Dean, I affirm full support in moving this initiative forward.

Sincerely,



Grover C. Gilmore, Ph.D.
Dean and Professor

/attachment



MANDEL SCHOOL OF
APPLIED SOCIAL SCIENCES

CASE WESTERN RESERVE
UNIVERSITY

10900 Euclid Avenue
Cleveland, Ohio 44106-7164

Visitors and Deliveries
11235 Bellflower Road

Phone 216.368.6680
david.crampton@case.edu

Date: February 17, 2012

To: Grover C. Gilmore, Ph.D.
Dean

From: David Crampton, Ph.D. *DC*
Chair, MSASS Steering Committee

RE: Report of Vote from MSASS Constituent Faculty Meeting of October 11, 2010

The MSASS Constituent Faculty met on October 11, 2010, to consider the proposal of a joint
MSSA/MPH degree program. Faculty voted to unanimously approve the proposal.

DC/tw



MANDEL SCHOOL OF
APPLIED SOCIAL SCIENCES

CASE WESTERN RESERVE
UNIVERSITY

Pamela B. Davis, M.D., Ph.D.
Dean
Vice President for Medical Affairs
Office of the Dean

Memorandum

10900 Euclid Avenue
Cleveland, Ohio 44106-4915

Visitors and Deliveries
Biomedical Research Bldg - Rm 113

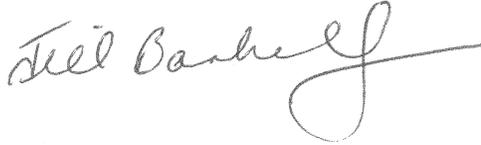
Phone 216.368.2825

Fax 216.368.2820

<http://casemed.edu>

To: Pamela B. Davis, M.D., Ph.D.
Dean, School of Medicine

From: Jill Barnholtz-Sloan, Ph.D.
Chair, Faculty Council 2011-2012



Date: January 24, 2012

Re: Proposal for the Master of Science in Social Administration and Master in Public Health
"Side by Side" Joint Degree Program

At its meeting on January 23, 2012, Faculty Council reviewed the proposal for the Master of Science in Social Administration and Master in Public Health "Side by Side" Joint Degree Program.

The proposed "Side by Side" Joint Degree Program leads to the award of both the Master of Science in Social Administration (MSSA) and the Master in Public Health (MPH). The Master of Science in Social Administration (MSSA) degree program at Case Western Reserve University prepares students for advanced social work practice in two concentrations for direct practice and community and social development. The social work program at MSASS, with 337 students, currently ranks in the top 10 schools of social work in the country and as the top school of social work in the state of Ohio. The MPH program is designed to prepare students to address the basic mission of public health, defined as "enhancing health in human populations through organized community effort," utilizing education, research, and community service. Public health practitioners are prepared to identify and assess health needs of different populations, and then to plan, implement, and evaluate programs to meet those needs. The "Side by Side" Joint Degree Program enables unique students to obtain graduate preparation in both complementary fields. The Mandel School of Applied Social Sciences is the administrative home school for this proposed joint degree program.

There are nearly two dozen joint social work and public health programs in the United States. Public health social work programs are some of the oldest joint programs in schools of social work in the U.S. Social work's involvement in public health has been extensive, and new roles for public health social workers continue to grow. Intervention and research strategies in both professions address the role of differential access and treatment in these other domains caused by racial and ethnic differences, socioeconomic positions, gender and sexual orientation.



SCHOOL OF MEDICINE

CASE WESTERN RESERVE
UNIVERSITY

Accordingly, the Faculty Council concluded the Master of Science in Social Administration and Master in Public Health dual degree program beneficial for the estimated 16 students that would be interested in enrolling per year in five years. By a vote of 33 in favor; 0 against, 0 abstain, the proposal was recommended for approval.

Please review the proposal and add any additional comments; then forward to the University Faculty Senate for its review and recommendation.

Thank you.

Pamela B. Davis, M.D., Ph.D.
Dean
Vice President for Medical Affairs
Office of the Dean

10900 Euclid Avenue
Cleveland, Ohio 44106-4915

Visitors and Deliveries
Biomedical Research Bldg - Rm 113

Phone 216.368.2825

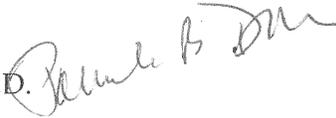
Fax 216.368.2820

<http://casemed.edu>

Memorandum

To: Gary Chottiner, Ph.D.
Chair, Faculty Senate

From: Pamela B. Davis, M.D., Ph.D.
Dean, School of Medicine



Date: January 25, 2012

Re: Proposal for the Master of Science in Social Administration and Master in Public Health
"Side by Side" Joint Degree Program

Enclosed please find a proposal for the Master of Science in Social Administration and Master in Public Health "Side by Side" Joint Degree Program. The program has been recommended for approval by the Faculty Council of the School of Medicine, acting under our Bylaws for the Faculty of Medicine, and has my enthusiastic endorsement.

I understand that the process for further review includes oversight by the Faculty Senate's Graduate Studies Committee and the Faculty Senate as a whole. Please let me know if I can provide any additional information.

Thank you for your consideration.

C: (all w/o enclosures): Jill Barnholtz-Sloan, Ph.D.
Scott Frank, Ph.D.



SCHOOL OF MEDICINE

CASE WESTERN RESERVE
UNIVERSITY

PROPOSAL

MASTER OF SCIENCE IN SOCIAL ADMINISTRATION AND MASTER IN PUBLIC HEALTH “SIDE BY SIDE”* JOINT DEGREE PROGRAM

Program Advisors:

David Miller and Sharon Milligan

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Graduate Program in Public Health

Background

The proposed joint program is consistent with the University’s broader “Guidelines for Multidisciplinary Graduate and Professional Studies at Case Western Reserve University” (adopted March 1, 2005). According to these guidelines, joint degree programs “generally result in two degrees” in areas where the knowledge gained cannot be received in any one degree program.

The proposed “Side by Side” Joint Degree Program leads to the award of both the Master of Science in Social Administration (MSSA) and the Masters in Public Health (MPH). The Master of Science in Social Administration (MSSA) degree program at Case Western Reserve University prepares students for advanced social work practice in two concentrations for direct practice and community and social development. The social work program at MSASS, with 337 students, currently ranks in the top 10 schools of social work in the country and as the top school of social work in the state of Ohio. The MPH program is designed to prepare students to address the basic mission of public health, defined as “enhancing health in human populations through organized community effort,” utilizing education, research, and community service. Public health practitioners are prepared to identify and assess health needs of different populations, and then to plan, implement, and evaluate programs to meet those needs. The “Side by Side” Joint Degree Program enables unique students to obtain graduate preparation in both complementary fields. The Mandel School of Applied Social Sciences is the administrative home school for this proposed joint degree program.

The impetus for this proposed joint program arises from a growing societal recognition that issues once thought to represent individual-level problems requiring individual-level interventions, such as family violence, substance use, and mental illness, are multi-level problems demanding multi-level interventions for their amelioration. The proposed joint program will equip students with a broader panoply of skills and perspectives to address such issues and will increase their marketability.

Need

There are nearly two dozen joint social work and public health programs in the United States. Public health social work programs are some of the oldest joint programs in schools of social work in the U.S. Social work’s involvement in public health has been extensive, and new roles for public health social workers continue to grow. Social work and public health share an historic mission to promote social justice and to protect and enhance human and social well-being. The issues that face children and families – e.g., aging, substance abuse, mental and physical health policies and practices – are of mutual importance to both professions. Intervention and research strategies in both professions address the role of differential access and treatment in these other domains caused by racial and ethnic differences, socioeconomic positions, gender and sexual orientation.

* A side by side program is composed of existing elements of ongoing programs provided by faculty usually engaged in these efforts. The existing program is to be supplemented by integrative experience designed to make the joint character of the program explicit.

The career options for joint degree holders are numerous and varied. Completing both degrees prepares graduates with the flexibility of providing leadership in professional practice in prevention and promotion, program planning, and development and evaluation within communities and organizations in a broad range of health and human service activities.

Case Western Reserve University is poised both geographically and academically to assume a leading role among joint MPH-MSSA programs and to recruit an outstanding cadre of students on a continuing basis to the proposed program. As indicated above, MSASS is one of the top 10 social work schools nationally and the leading school of social work in Ohio. Additionally, the MPH program at Case is an accredited program. No joint MPH-MSSA degree programs have to date been established in either Ohio or the geographic region; the closest dual degree programs are located in Pittsburgh, Indiana, Boston, and New York. Accordingly, a joint MPH-MSSA degree program at Case will prove attractive to many students who would otherwise be forced to enroll in a joint degree program elsewhere or to pursue their two degrees consecutively.

Prospective Students

Prospective students have an interest in social work and public health. Students will be recruited nationally for this graduate program opportunity. Many schools of social work have as many as 25 students interested in this joint program. The MSASS goal is to have 16 students per year in five years.

The joint degree program option will be available to full-time students only due to the sequencing of courses. Individuals wishing to pursue both degrees on a part-time basis may apply to each program individually and pursue each on a part-time basis.

Description of the Master in Public Health

The Graduate School offers a graduate degree in public health leading to the degree of Master of Public Health. Professionals from nursing, medicine, law, life sciences, social work, the social sciences, management, public policy, and other areas have contributed to the field of public health. The program at Case Western Reserve University School of Medicine emphasizes the interdisciplinary and inter-professional nature of the field and is designed to provide advanced training in public health. The program is accredited by the Council on Education in Public Health (CEPH).

The MPH program requires 42 credit hours to complete. Eighteen hours or six 3-hour courses make up the core requirements, representing the fundamental domains of public health: biostatistics; epidemiology, environmental health sciences, health service administration, public health essentials, and social and behavioral sciences. Students receive nine credits for three courses in the major of their choice, six credits for elective courses, and nine credits for the “Capstone Experience,” a public health practicum encompassing the equivalent of one semester of the MPH program. There are four majors in the MPH program: **Population Health**, **Global Health**, **Health Policy and Management**, and **Health Promotion and Disease Prevention**. (*Patterns of Enrollment for the bolded domains are attached to this document.*) The joint program will entail 3 of the 4 majors highlighted. The details for Global Health have not yet been worked out due to the complexities related to identifying appropriate field placement opportunities that would meet the program accreditation and licensure requirements for social workers. We anticipate that such details will be resolved within the upcoming 2 to 3 years, at which time students in this track will also be able to participate in the dual degree program. Students must develop a capstone project relevant to their major. Previous experience and education pertaining to public health may increase the student’s flexibility in course selection.

Description of the Master of Science in Social Administration

The MSSA program prepares students for advanced social work practice in an area of concentration. Through classroom and field work, they develop the knowledge, values, and skills needed to function as social work professionals to effect change in individuals, families, groups, and communities. The

program requires 60 credit hours to complete, and is accredited by the Council on Social Work Education (CSWE). All courses are given letter grades with the exception of 15 hours of field education. Life or work experience does not factor into the course selection. However, a bachelor's degree in social work within the last five years before matriculation at CWRU with grades of B or better can give an applicant the opportunity to become an Advanced Standing student. Advanced Standing students may place out of coursework and substitute other courses in their place.

The foundation curriculum (21 credit hours) is completed during the first two semesters of full-time enrollment. It consists of general courses in social work methods and theory, social policy, diversity and inequality, research methods, and two semesters of field placement. Most foundation courses are prerequisites for concentrations required courses and advanced electives.

The advanced curriculum (39 credit hours) builds on the foundation courses and provides advanced knowledge and practice skills in the concentration selected by the student. Concentrations include **aging; alcohol and other drug abuse; children, youth, and families; health; mental health; and community and social development.** (*Patterns of Enrollment—POE— for bolded concentrations/ specializations are attached to this document.*) These POEs provide an example of the curriculum, but others can be customized for an individual student.

Admission to the Joint Program

Applicants are required to satisfy the regular requirements of both programs. Applicants must apply separately to MSASS for the MSSA and to the Graduate School for the MPH. Admission to one program does not guarantee that a student will be admitted to the other. Only full-time students are eligible for admission to the joint degree program. Application to both schools for admissions to the joint degree program can be done simultaneously but must be done within the first year of admission to each individual program. A joint committee of the two programs will meet and review each applicant's eligibility for admissions to the joint program. It is possible for a student to be admitted to one program or the other but not to the joint degree program. This joint discussion is particularly critical in situations in which the student seeks entry to the joint program after having applied for and being enrolled in only one of the degree programs. While normally, the point of entry to the joint program is the fall semester, a student already enrolled in the first year of the MSASS program may apply for spring admission to the MPH program.

Description of the MSSA/MPH Program

Overview, Credits and Course Planning. Students will participate in both degree programs simultaneously and will be able to complete the joint program in 36 months (see attached Patterns of Enrollment). Students in the joint degree program must complete at least 72 academic credit hours. The Council on Social Work Education (CSWE) expects all Master of Social Work programs to require 60 credit hours; 15 of those hours are completed in a social work field placement internship. The MSSA program will accept 9 hours for courses in public health, and the MPH program will accept 9 hours for courses in social work; these 9 hours relate to the integrated Capstone-Field Placement experience. The Capstone Project component of these credit hours must be approved by the MPH office utilizing the standard approval process (see Capstone Kit) prior MPH credit hours being granted. Depending upon the student's concentration, an additional 3-12 credit hours may be cross-counted between programs but, in every case, students must meet the minimum course credit requirement for accreditation and licensure requirements in each program. The student will complete the foundation courses before taking advanced courses in social work. Should a student in good standing decide not to complete the joint degree program, he/she may complete either the MSSA or the MPH program instead, according to their interests and in consultation with the respective advisors.

MSASS will waive SASS 426 *Introduction to Research Methods* course for the MPHP 405 *Statistical Methods in Public Health* and other courses in Epidemiology or Biostatistics, such as *Epidemiology: Introduction to Theory and Methods* (MPHP 490). Additional epidemiology and other statistics and

research courses requiring an understanding of data management and statistical analysis can be taken as electives for social work and public health. Students with no or limited undergraduate research methods might want to take *SASS 426 Introduction to Research Methods*.

Students must take a second course in research methods (research electives in the second year); *SASS 530 (Practice Evaluation)* and/or *SASS 532 (Analytical Tools)* are considered possible elective course options.

Joint degree students will be required to participate in an Integrative Seminar each fall and spring for 0 academic credits. The seminar meets approximately once a month. As students progress through their program, they are expected to take more leadership responsibilities in the seminar.

If approved, the MPH capstone can be completed in the MSSA field placement. The MPH program is a professional degree involving work with individuals, groups, organizations and communities. The social work degree program is a practice degree that requires work with individuals, groups, and/or families, as well as communities. An important part of social work direct practice field internships is the ability to practice work with individuals, groups or families, and community and social development practice with communities and organizations. Like the Integrative Seminar, the integrated MPH Capstone-MSSA Field Placement experience will support student integration and utilization of public health and social work concepts and skills.

Building a Capstone (0 credit hours) and the *Social Work Field Seminar* (1) are required for all students in the joint program. In the social work program, the first field placement should be taken concurrently with the public health field seminar. In the public health program, the *Building a Capstone* should be taken before the *Capstone Project*. Each will serve to integrate the theoretical and practical content area of the two components of each joint program, while also engendering interdisciplinary discussion among the disciplines participating in the public health graduate program.

Program Advisory Committee. Each joint degree student will have a faculty advisor in the MSSA program and in the MPH program. These advisors will be responsible for guidance of the student through the joint program, with each respective faculty emphasizing the content and process within their primary program. In addition, there will be a Program Advisory Committee, consisting of Public Health representatives (currently Sana Loue and Scott Frank), and Social Work representatives (currently Sharon Milligan or David Miller, Zoe Breen Wood or her designee). The Program Advisory Committee will meet once a year and as needed to address program issues and monitor the effectiveness of the program.

Credit hour breakdowns for MSSA/MPH are dependent upon the MSSA concentration and are described in the sample patterns of enrollment, below.

Tuition

Tuition for the joint degree program will be based on the program in which the course is taught. That is, if the course is taught in PH, PH receives the tuition. Since all MSSA applicants will be enrolled in MSASS, they will pay the MSASS tuition rate. Should this arrangement change at some future date, a new agreement will need to be negotiated in order to ensure equitable revenue sharing. Home base is defined as the student's primary program. MSASS will be the home base for all joint degree students, following the pattern of other MPH dual degree programs in which the program with the greater number of credit hours is considered the home base program. The exception to this would consist of a situation in which the student is admitted to and initiates the MPH Program prior to the MSASS program.

Assuming an MSSA/MPH dual degree student is home-based in MSASS and takes 6 MPH credits and 9 SASS credits for a total of 15 credits during the fall semester, the MPH Program would bill MSASS for tuition, since all of her tuition dollars would funnel back to her home-base of MSASS. This billing

would be designed to occur in an equitable fashion that allows each program to realize tuition income that acknowledges the actual teaching commitment occurring in that semester. If at any time either the MSASS or School of Graduate Studies full-time tuition rates change such that they are no longer equal (as they are at the time of the original dual degree approval), then this tuition sharing agreement must be revised to ensure an equitable billing model.

Example:

1. Full-time School of Graduate Studies tuition is \$17,845.00 per semester.
2. The percentage of her credits taken in the fall 2011 semester that were MPHP/EPBI is $6/15 = .40$ or 40%
3. 40% of \$17,845.00 is \$7,138.00
4. $\$7,138.00 \times .60$ (60% tuition return rate) is \$4,282.80.
5. The MPH Program would bill MSASS for \$4,282.80.

Reversing this scenario, such that the student is home-based in the MPH Program, and she takes 6 MSSA credits and 9 MPHP credits for a total of 15 credits.

1. Full-time MSASS tuition is \$17,845.00 per semester.
2. The percentage of her credits taken in that semester that were SASS were $6/15 = .40$ or 40%
3. 40% of \$17,845.00 is \$7,138.00
4. $\$7,138.00 \times .60$ (60% tuition return rate) is \$4,282.80.
5. MSASS would bill the MPH Program for \$4,282.80.

SAMPLE PATTERN OF ENROLLMENT (3-year full-time program)

MSSA/MPH Joint Degree: Community and Social Development Concentration (MSSA) and Health Promotion and Disease Prevention Major (MPH)

YEAR 1

Fall

MPHP 405	Statistical Methods in Public Health (3)
MPHP 506	Future of Public Health (0)
MPHP 406	History and Philosophy of Public Health (3)
SASS 440	Human Development I: Child and Adolescent (3)
SASS 484	Theories of Oppression and Social Justice (3)
SASS 470	Introduction to Social Policy (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 15
(6 PH/9 SW)

Spring

MPHP 411	Introduction to Behavioral Health (3)
MPHP 507	Building a Capstone (0)
MPHP 429	Environmental Health (3)
MPHP 413	Health Education, Communication, and Advocacy (3)
SASS 478	Macro and Policy Practice Skills (3)
SASS 441	Human Development II (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 15
(9 PH/6 SW)

YEAR 2

Fall

MPHP 483	Introduction to Epidemiology for Public Health(3)
MPHP 652/SASS 601	Capstone/Field Education I (3)/SASS 601 Field Education (2)
SASS 477	Direct Practice Methods and Skills (3)
SASS 495	Field Education Seminar (1)
SASS 534	Community Development Perspectives (3)
SASS 567	CSD I: Strategies for Assessing, Building, & Organizing Community (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 16
(3-6 PH/10-13 SW)*

Spring

MPHP 439	Health Management and Policy (3)
MPHP 652/SASS 602	Capstone/Field Education II (3)
SASS 569	CSD II: Strategies for Designing and Implementing Community and Social Change (3)
SASS/MPHP elective	Analytic & Research Tools for Community and Social Development or other Research Elective (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 12
(6 PH/6 SW)

YEAR 3

Fall

MPHP 433	Community Interventions and Program Education (3)
MPHP 652/SASS 603	Field Education III (3) (to serve as MPH capstone credits if placement appropriate for both)
SASS 563	Resources for Community and Social Development (3)
	Integrative Seminar in Public Health/Social Work (0)
1 elective	(3)

Total credits: 12
(3-6 PH/3-9 SW)*

Spring

SASS 604	Field Education IV (3) (to serve as MPH capstone credits if placement appropriate for both)
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(0-3 PH/0-3 SW)*
Total credits: 3

Total Program Credits: 73-76

Pure PH	21-24	
PH or MSASS	6	
Pure MSASS	31	
Capstone/Field	9/15	Consists of 9 MPH-MSASS (does not include field seminar or capstone preparation, which are included in "pure" credits; consists of MSASS 604; 3 credits beyond the 9 that are required for MPH capstone. All Capstone/Field Experience must meet all criteria for both programs.
Electives	3	Must be approved by both MPH and MSSA programs

*Range in credit hours reflect whether Capstone/Field Education are counted for administrative (tuition) purposes in the MSSA or MPH program. Educationally, these credit hours count toward the degree for both programs.

PATTERN OF ENROLLMENT (3-year full-time program)

MSSA/MPH Joint Degree: Direct Practice in Aging (MSSA) and Health Care Policy and Administration (MPH)

YEAR 1

Fall

MPHP 405	Statistical Methods in Public Health (3)
MPHP 506	Future of Public Health (0)
MPHP 406	History and Philosophy of Public Health (3)
SASS 440	Human Development I: Child and Adolescent (3)
SASS 484	Theories of Oppression and Social Justice (3)
SASS 470	Introduction to Social Policy (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 15
(6 PH/9 SW)

Spring

MPHP 507	Building a Capstone (0)
MPHP 429	Environmental Health (3)
MPHP 411	Introduction to Health Behavior (3)
MPHP 439	Health Management and Policy (3)
SASS 441	Human Development II: Adult (3)
SASS 478	Macro and Policy Practice Skills (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 15
(9 PH/6 SW)

YEAR 2

Fall

MPHP 483	Introduction to Epidemiology for Public Health (3)
MPHP 652/SASS 601	Capstone/Field Education I (3)
SASS 495	Field Education Seminar (1)
SASS 477	Direct Practice Foundation Methods Skills (3)
SASS/MPHP	Practice Evaluation or other Research Elective (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 13
(3-6 PH/4-10 SW)*

Spring

MPHP 467	Cost Effectiveness in Healthcare (3)
MPHP 652/SASS 602	Capstone/Field Education II (3)
SASS 547	Problem Identification, Screening (3)
SASS 604	Field Education IV (3)
SASS 515/518	Family Care Giving/Social Work with Death, Grief, and Loss (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 15
(3-6 PH/9-12 SW)*

Summer

MPHP 475	Management of Disasters (3) (Additional course fees)
MPHP 652/SASS 603	Capstone/Field Education III (3)

Total credits: 6
(3-6 PH/0-3 SW)*

YEAR 3

Fall

MPHP468	Continual Improvement of Healthcare (3)
SASS 549	Theory/Practice Approaches in Direct Practice (3)
SASS 581	Social Work with Older Adults (3)
SPPP 513	Aging Policy and Service Delivery (3)
	Integrative Seminar in Public Health/Social Work (0)
1 elective	(3)

Total credits: 15
(3-6 PH/6-9 SW)*

Total Program Credits: 76-79

Pure PH	24-27	
PH or MSASS	6	
Pure MSASS	37	
Capstone/Field	9/15	Consists of 9 MPH-MSASS (does not include field seminar or capstone preparation, which are included in "pure" credits; consists of MSASS 604; 3 credits beyond the 9 that are required for MPH capstone. All Capstone/Field Experience must meet all criteria for both programs.
Electives	6	Must be approved by both MPH and MSSA programs

*Range in credit hours reflect whether Capstone/Field Education are counted for administrative (tuition) purposes in the MSSA or MPH program. Educationally, these credit hours count toward the degree for both programs.

SAMPLE PATTERN OF ENROLLMENT (3-year full-time program)

MSSA/MPH Joint Degree: Direct Practice in Alcohol and Other Drug Abuse (MSSA) and Population Health Research

YEAR 1

Fall

MPHP 405	Statistical Methods in Public Health (3)	
MPHP 506	Future of Public Health (0)	
MPHP 406	History and Philosophy of Public Health (3)	
SASS 440	Human Development I: Child and Adolescent (3)	
SASS 484	Theories of Oppression and Social Justice (3)	
SASS 470	Social Policy (3)	
	Integrative Seminar in Public Health/Social Work (0)	Total credits: 15 (6 PH/9 SW)

Spring

MPHP 439	Health Management and Policy (3)(public health core unless substitute permitted)	
MPHP 507	Building a Capstone (0)	
MPHP 429	Environmental Health (3)	
MPHP 411	Introduction to Health Behavior (3)	
SASS 441	Human Development II: Adult (3)	
SASS 478	Macro and Policy Practice Skills (3)	
	Integrative Seminar in Public Health/Social Work (0)	Total credits: 15 (9 PH/6 SW)

YEAR 2

Fall

MPHP 483	Introduction to Epidemiology for Public Health (3)	
MPHP 652/SASS 601	Capstone/Field Education I (3)	
SASS 495	Field Education Seminar (1)	
SASS 477	Direct Practice Foundation Methods Skills (3)	
SASS/MPHP	Practice Evaluation or other Research Elective (3)	
	Integrative Seminar in Public Health/Social Work (0)	Total credits: 13 (3-6 PH/7-10 SW)*

Spring

MPHP 467	Cost Effectiveness in Healthcare (3)	
MPHP 652/SASS 602	Capstone/Field Education II (3)	
SASS 547	Problem Identification, Screening (3)	
SPPP 502	Alcohol and Other Drug Abuse Policy (3)	
SASS 576	Integrative Seminar in Alcohol and Other Drug Abuse (3)	
	Integrative Seminar in Public Health/Social Work (0)	Total credits: 15 (3-6 PH/9-12 SW)*

YEAR 3

Fall

MPHP 491	Study and Design (3)	
MPHP 652/SASS 603	Capstone/Field Education III (3)	
SASS 564	Social Work Practice in Alcohol and Other Drug Abuse (3)	
SASS 549	Theory/Practice Approaches in Direct Practice (3)	
SSWM 563	Intervention in Co-Occurring Mental & Substance Use Disorders (3)	
	Integrative Seminar in Public Health/Social Work (0)	Total credits: 15 (3-6 PH/9-12 SW)*

Spring

SASS 604	Field Education IV (3)	
MPHP/SASS	Elective (3)	
	Integrative Seminar in Public Health/Social Work (0)	Total credits: 6 (0-3 PH/3-6 SW)*

Total Program Credits: 76-79

Pure PH	24-27	
PH or MSASS	3	
Pure MSASS	40	
Capstone/Field	9/15	Consists of 9 MPH-MSASS (does not include field seminar or capstone preparation, which are included in "pure" credits; consists of MSASS 604; 3 credits beyond the 9 that are required for MPH capstone. All Capstone/Field Experience must meet all criteria for both programs.
Electives	3	Must be approved by both MPH and MSSA programs

*Range in credit hours reflect whether Capstone/Field Education are counted for administrative (tuition) purposes in the MSSA or MPH program. Educationally, these credit hours count toward the degree for both programs.

SAMPLE PATTERN OF ENROLLMENT (3-year full-time program)

MSSA/MPH Joint Degree: Direct Practice in Health (MSSA) and Population Health Research (MPH)

YEAR 1

Fall

MPHP 405	Statistical Methods in Public Health (3)
MPHP 506	Future of Public Health (0)
MPHP 406	History and Philosophy of Public Health (3)
SASS 440	Human Development I: Child and Adolescent (3)
SASS 484	Theories of Oppression and Social Justice (3)
SASS 470	Introduction to Social Policy (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 15
(6 PH/9 SW)

Spring

MPHP 507	Building a Capstone (0)
MPHP 429	Environmental Health (3)
MPHP 411	Introduction to Health Behavior (3)
SASS 441	Human Development II: Adult (3)
SASS 478	Macro and Policy Practice Skills (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 12
(6 PH/6 SW)

YEAR 2

Fall

MPHP 483	Introduction to Epidemiology for Public Health (3)
MPHP 652/SASS 601	Capstone (3) or Field Education I (2)
SASS 495	Field Education Seminar (1)
SASS 477	Direct Practice Foundation Methods Skills (3)
SASS/MPHP	Practice Evaluation or other Research Elective (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 13
(3-6 PH/7-9 SW)*

Spring

MPHP 652/SASS 602	Capstone/Field Education II (3)
SASS 547	Problem Identification, Screening (3)
SSWM 518/SASS 515	Social Work with Death, Grief, and Loss/Family Caregiving (3)
MPHP 467	Cost Effectiveness in Healthcare (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 12
(3-6 PH/6-9 SW)*

YEAR 3

Fall

MPHP 491	Study and Design (3)
MPHP 652/SASS 603	Capstone/Field Education III (3)
SPPP 511/MPHP 439	Issues in Health Policy and Service Delivery (3) or MPHP 439 Health Management and Policy in the Spring
SASS 549	Theory/Practice Approaches in Direct Practice (3)
SASS 589	Social Work in Health: Chronic Illness (3)
	Integrative Seminar in Public Health/Social Work (0)

Total credits: 15
(3-6 PH/9-12 SW)*

Spring

SASS 604	Field Education IV (3)
	Integrative Seminar in Public Health/Social Work (0)
MPHP 439	Health Management and Policy
1 elective	(3)

Total credits: 6-9
(3-6 PH/3-6 SW)*

Total Program Credits: 73-76

Pure PH	27	
PH or MSASS	6	
Pure MSASS	37	
Capstone/Field	9/15	Consists of 9 MPH-MSASS (does not include field seminar or capstone preparation, which are included in "pure" credits; consists of MSASS 604; 3 credits beyond the 9 that are required for MPH capstone. All Capstone/Field Experience must meet all criteria for both programs.
Electives	6	Must be approved by both MPH and MSSA programs

*Range in credit hours reflect whether Capstone/Field Education are counted for administrative (tuition) purposes in the MSSA or MPH program. Educationally, these credit hours count toward the degree for both programs.

Proposal Certificate Program in Clinical Research

i. Approved graduate program(s) sponsoring the certificate program

The Clinical Research Certificate program will be sponsored by the existing Clinical Research Scholars Program and administered within the Center for Clinical Investigation. The Center currently manages the Master of Science degree in Clinical Research. The certificate program will be administered by the Center's Academic Program Director, the Center's Academic Development and Training's Executive Committee, and a program coordinator. The Executive Committee will function as a steering committee for the certificate program and will be responsible for oversight of all admissions, academic, and curricular issues that may arise. The Executive Committee consists of a chairperson – the Academic Program Director – and two additional faculty members of the Clinical Research Scholars Program. The Academic Program Director is appointed by the Dean of the School of Medicine, and the additional two members of the Executive Committee are selected by the Program Director and approved by the Dean. The Executive Committee oversees the Master of Science degree program in Clinical Research as well as development of the CCI's other academic and training activities. The Executive Committee will be responsible for approving individuals into the program, handling any student or faculty concerns as arise, and periodic reviewing of the curriculum to assure maintenance of academic standards. The current Academic Program Director and chairperson of the Executive Committee is James Spilsbury, Ph.D.

Administrative aspects of the program will be conducted by the Center's Education Administrator/Manager. This position is currently filled by Natalie Milone, MA.

ii. Need and demand for the certificate program

In its "Roadmap for Medical Research," the National Institutes of Health have highlighted the urgent need to speed biomedical advances and discoveries made in the laboratory to the individual patient and population as a whole. As part of the "Roadmap," the NIH launched the Clinical and Translational Science Awards (CTSA) program to energize clinical translational research and training. Currently, the CTSA program consists of a consortium of 55 medical research institutions located throughout the nation. In 2007, Case Western Reserve University (CWRU), the MetroHealth Medical Center, and the Cleveland Clinic Foundation were awarded one of the CTSA grants (NCRR CTSA Award UL1-RR02498) and formed the Clinical and Translational Science Collaborative, which has as a major goal to accelerate clinical translational research and training in the greater Cleveland area.

The Center for Clinical Investigation is located at CWRU's School of Medicine and serves as the academic home of the Clinical and Translational Science Collaborative. The Center currently directs a number of activities to enhance the clinical translational workforce and infrastructure in greater Cleveland, including a master's program (ongoing) and doctoral program (in development) in clinical research.

The proposed Certificate program will be administered by the Center for Clinical Investigation and will provide foundation training in clinical research methods for clinical-translational scientists. The proposed Certificate program targets clinicians and other health-science professionals who desire further training in clinical research skills to enhance their abilities as clinician-scientists, but who lack adequate time or resources to obtain a formal degree in clinical research. Health-science students, basic-science researchers, and other health-science professionals who desire greater knowledge and skill in clinical research may also be interested.

Experience with CWRU's existing master's program in clinical research illustrates the need for a certificate program. Enrollment in the annual introductory course for the program (CRSP 401 – Introduction to Clinical Research) consistently draws 40-80 people (Appendix 1, Table 1). Numerous residents and fellows from the University Hospitals Case Medical Center, the Cleveland Clinic Foundation, and MetroHealth Medical Center attend (Appendix 1, Table 2). After taking the course, several people have applied to the master's program, but others have cited cost or time commitment as reasons not to pursue the degree. The Certificate program will provide a more feasible alternative for residents, fellows, faculty, and other individuals who are interested in conducting clinical research or collaborating with other clinician-scientists who conduct clinical research.

Similar to CWRU, other CTSA awardees nationwide have experienced an expressed need for a certificate program, and 9 of them have developed certificate programs. For example, the certificate program at the University of Cincinnati, the closest existing certificate program in Ohio, started enrolling students in the summer of 2009. As of October 2010, 6 people completed the certificate and 20 were enrolled. Of note, the proposed CWRU Certificate program will not compete with the Cincinnati program because our program will draw from the local pool of students and trainees at the affiliated hospitals in Cleveland.

We anticipate approximately 8 individuals per year will enroll in the program during the initial 1-3 years, with increasing participation in subsequent years.

iii. Statement of educational objectives of the certificate program

The proposed Certificate program is designed to provide a firm grounding in the method and conduct of patient-oriented clinical research. After completion of the program, graduates will be better able to conduct clinical research, as well as collaborate with other clinician-scientists conducting clinical research. Based on the core competencies for the Master of Science degree in Clinical Research, we have developed a set of core competencies and educational objectives for the certificate program. Upon completion of the Certificate Program, individuals will be able to:

Domain	Core Competency	Coursework Supporting Competency
Formulation of Clinical Research Questions	Formulate important, well-defined clinical research question that are feasible to address.	CRSP 401, 402
	State succinct research questions that can be answered in specific ways, including posing and testing clinical/translational research hypotheses.	CRSP 401

Domain	Core Competency	Coursework Supporting Competency
	Understand relevant stakeholders in clinical research endeavors: patient groups, practitioners, policymakers	CRSP 401
Literature Critique	Critique and interpret results of published studies in a balanced and evidence-based fashion.	CRSP 402
	Assess major sources of bias and variations in previous studies.	CRSP 402
	Interpret previous literature/studies in a causal framework.	CRSP 402
	Place a study in the context of existing research along a translation continuum (laboratory to patient to population).	CRSP 402
Study Design	Describe possible study designs for addressing a research question (i.e., cohort, clinical trials, case-control, cross-sectional, genetic epidemiology studies, focus group, etc.), explaining when each study design is appropriate and the strengths and weaknesses of each.	CRSP 401, 402
	Identify a target population for a research project.	CRSP 401
	Determine expertise and resources needed to implement all components of a research project.	CRSP 401
	Design and write a protocol for clinical/translational research study	CRSP 401
Analytic Methods	Analyze quantitative data, working with professional methodologists, as needed.	CRSP 431
	Use the paradigms and methods in statistical science, including various sub-fields of epidemiology.	CRSP 431, 402
	Demonstrate firm understanding of the fundamental concepts of statistical reasoning, mostly traditional (frequentist), but also Bayesian.	CRSP 431
	Frame scientific questions in statistical terms; relate/translate statistical results back to the scientific questions.	CRSP 431
	Match statistical approaches with different research designs.	CRSP 431
	Distinguish research questions that require inference methods from those that require estimation methods from those that require exploratory strategies, such as data mining and statistical learning methods.	CRSP 431
	Recognize potential sources of bias/confounding and apply appropriate analytic techniques to assess and reduce such problems.	CRSP 431, 402
	Describe the differences between confounding, effect modification, and mediation.	CRSP 431, 402
	Build and compare sound statistical models that reflect alternative hypothesized biomedical mechanisms. This includes knowing how different types of outcome data (continuous, binary, multinomial, count, time-to-event) require different statistical models.	CRSP 431
	Relate the mathematical assumptions inherent in a particular statistical method to what real effect their violations have on the actual analyses.	CRSP 431
	Explain how traditional methods (based on mathematical models) can be buttressed/replaced by modern computationally intensive methods (e.g. bootstrapping).	CRSP 431
	Present statistical information, including tables and graphics.	CRSP 431
	Demonstrate proficiency in at least one statistical software system.	CRSP 431
Appreciate the issues associated with the unreliability and bias in measurements and how this can affect data analysis and interpretation.	CRSP 431, 402	
Research Ethics	Understand fundamental ethical, legal, and regulatory issues in clinical research. Includes various topics: Belmont Report, informed consent; IRBs, risk-benefit assessment; recruitment, compensation and coercion; commercialization; conflicts of interest; data safety monitoring.	CRSP 401, CRSP 603, CREC certification

iv. Curriculum for the certificate program.

A total of 4 courses totaling 11 credit hours are required for successful completion of the program. These courses are currently being offered as part of the Master of Science Program in Clinical Research. No new courses are needed. In addition, individuals must successfully complete the Continuing Research Education Credit (CREC) curriculum to complete the certificate program. Descriptions of the courses and CREC requirement follow:

CRSP 401 (3 credit hours) - Introduction to Clinical Research

This course is designed to familiarize students with the language and concepts of clinical investigation and statistical computing, as well as provide opportunities for problem-solving and practical application of the information derived from the lectures. The material is organized along the internal logic of the research process, beginning with mechanisms of choosing a research question and moving into the information needed to design the protocol, implement it, analyze the findings, and draw and disseminate the conclusion(s).

CRSP 402 (3 credit hours) - Study Design and Epidemiologic Methods

This course covers the methods used in the conduct of epidemiologic and health services research. The course begins with how to quantify disease frequency and compare it across populations, often as a way to generate hypotheses about what factors may cause a given condition. The course introduces methodologic issues that need to be considered in the design and conduct of epidemiologic studies, including classification of disease and exposure status, types and consequences of misclassification, effect modification and related concepts. Additional sessions focus on the control of confounding and on the three main types of study designs: randomized trials, cohort studies and case-control studies. Topics include: Measures of disease frequency, measures of effect, classification and misclassification, cross-sectional studies, case-control studies, cohort studies, randomized controlled trials, confounding, bias, and effect modification.

CRSP 431 (3 credit hours) - Statistical Methods I

This course covers the application of statistical techniques in the biomedical sciences. Content includes basic probability theory, random variables, distribution functions, point and interval estimation, regression, and correlation. The course involves the use of packaged statistical programs (e.g., R).

CRSP 603 (2 credit hours) – Research Ethics and Regulation: Emerging Issues and Ongoing Challenges

This course introduces students to the ethical, policy, and legal issues raised by research involving human subjects. Topics include (among others): regulation and monitoring of research, research in the developing world; research with special populations; stem cell and genetic research; commercialization and conflicts of interest; informed consent; study recruitment; risk-benefit assessment; the use of deception and placebos.

The required courses will be offered every year. CRSP 401 is offered Monday through Friday, 3 hours daily for over a 3-week period in July to accommodate clinician schedules. CRSP 402 and

431 are offered in the Fall semester. CRSP 603 has most recently been offered in the Fall semester, but may move to the Spring semester. Because CRSP 401 is the recommended preparation for CRSP 402, the anticipated order of courses would be: CRSP 401 (summer), with the other CRSP courses taken in subsequent Fall semester(s). However, there is no requirement that the coursework be taken in a specified order or period of time.

Certificate Curriculum for Medical Students

Counterpart courses for CRSP 401, 402, and 431 are currently available to medical students attending either the University Program or the Cleveland Clinic Lerner College of Medicine (CCLCM):

CMED 401 (3 credit hours) - Introduction to Clinical Research

This course is designed to provide an overview of skills necessary to plan and conduct clinical research. The goals of the 15-week course are to learn the basic skills necessary to develop and describe a clinical research project and apply these skills by working with a research mentor to develop a project proposal, which can be submitted for funding. Special emphasis is placed on study design and statistical considerations, ethical and legal considerations of clinical research, and specific methodologies such as cost-benefit studies, analyses of large data sets, outcomes research, qualitative methods in clinical research, and development of the necessary components of a written research proposal. Students and faculty devote the last session of the course to conducting a mock-NIH review of their proposals.

CMED 403 (3 credit hours) - Introduction to Clinical Epidemiology

This course introduces basic concepts of epidemiology, with specific focus on application of these concepts in the clinical research arena. Topics include: measures of disease frequency and the strength of their relationships with possible causative factors; primary observational research designs; clinical trials; interpretation of diagnostic and screening tests, and designs for assessing whether disease screening benefits patients; threats to research validity, including selection and measurement biases and confounding; and ethical and regulatory issues in the conduct of human research.

CMED 402 (3 credit hours) - Statistical Science for Medical Research

This course introduces core concepts and methods of statistical inference for interpreting and precisely communicating information from health science data, with emphasis on clinical research. A comprehensive perspective on statistical modeling unifies several important methods in order to encourage recognition of the breadth and power of modern biostatistics and its role in the health sciences.

CMED 401 is offered in the Spring semester, and CMED 402 and 403 are taught in the Summer.

There is currently no counterpart course for CRSP 603 at the CCLCM; students in the CCLCM will be required to take CRSP 603.

Continuing Research Education Credit (CREC) Certification

CREC is CWRU's program to provide documented training in the protection of human participants in research that is conducted at University Hospitals Case Medical Center, the

MetroHealth System, and CWRU. Researchers from the Louis Stokes Cleveland Department of Veterans Affairs Medical Center and the Cleveland Clinic may also participate. CREC subscribes to the training program that was developed and is currently offered online by the Collaborative Institutional Training Initiative (CITI), an organization founded in 2000 to develop web-based training in human subjects research protections. As of May 2010, the CITI Program has been utilized by over 1130 participating institutions and facilities from around the world. Individuals who complete the CITI Basic Course in The Protection of Human Research Subjects are certified for 3 years to conduct human subjects research, with continuing certification possible through completion of other Office of Research Administration and CITI educational activities. The Basic Course consists of 18 modules and covers the following topics: History and ethical principles; Basic Institutional Review Board (IRB) regulations and review Process; Informed consent; Social and behavioral research for biomedical researchers, Records-based research; Genetic research in human populations; Research with protected populations – vulnerable subjects; Group harms: FDA-regulated research, HIPAA and Human Subjects Research; Workers as research subjects; Conflicts of interest in research involving human subjects. The basic course takes approximately 3 hours to complete.

To obtain the Certificate in Clinical Research, individuals must be CREC-certified. CREC certification is administered through CWRU's Office of Research Administration and equivalent offices at the Cleveland Clinic, University Hospitals, and MetroHealth Center. Individuals who receive CREC certification are provided a certificate to this effect, and their current CREC-certification status is monitored by the institutions' offices of research administration.

v. Justification for the number of credit hours for the certificate program.

The Clinical Research Certificate program is a 11 credit hour program. Students who successfully complete the required coursework will receive a Certificate in Clinical Research issued by the Center for Clinical Investigation. Based on consideration of the critical competency-knowledge areas described above, the required 11-credit hour coursework for the Certificate program was identified: Introduction to Clinical Research; Study Design and Epidemiologic Methods; Statistical Methods 1, and Research Ethics and Regulation. Required CREC certification takes approximately 3 hours to complete. Credit hour requirements and the breadth of curricula of several existing certificate programs in clinical research were also considered (Appendix 2). The examined programs range from 6 to 24 required credit hours and cover similar information.

vi. Entrance, performance, and exit standards for the certificate program.

Entrance Standards: Entrance to the Certificate program will be administered by the Center for Clinical Investigation. Individuals who want to participate in the program will complete an application form that includes a brief personal statement describing the reason(s) for seeking clinical research training and a recent CV or resume.

We expect that most applicants to the certificate program will have already obtained or are enrolled in a program to obtain an advanced clinical (e.g., MD, MSN, DMD) or academic (MS, PhD) degree. However, we also anticipate that research assistants, study recruiters, or other

members of research teams working at CTSC institutions, who already have a baccalaureate degree or higher, will be interested in the certificate program. Thus, to include all these individuals, we will require that applicants must have already attained a baccalaureate degree to be admitted to the certificate program. Per CWRU School of Graduate Studies requirements, individuals who are not already graduate-degree-seeking students at CWRU must submit to the School of Graduate Studies a completed non-degree application form. Individuals who are not faculty, staff, or employees of CWRU must also submit a transcript or copy of their diploma, documenting completion of a baccalaureate degree. Per School of Graduate Studies requirements, non-degree-seeking individuals will not need to provide their Test of English as a Foreign Language (TOEFL).

Individuals will be accepted into the program based on the Executive Committee's review of the personal statement and any supporting documentation required by the School of Graduate Studies. Majority vote of acceptance by the Committee members will be necessary for admittance. Once accepted into the Certificate program, participants will register for the courses through the Student Information System.

The program will have rolling admissions, and students will be able to start taking courses in the summer, fall, or spring semester. The coursework for the Certificate will be listed on the official CWRU transcript. However, the Certificate in Clinical Research will be issued by the Center for Clinical Investigation, not the University. Although course credits will appear on the official CWRU transcript and be transferable to fulfill requirements for advanced degrees, the certificate itself will not appear on the official CWRU transcript.

Length of Program: Once accepted into the program, individuals will have 3 calendar years to complete the requirements.

Performance Standards: A grade of B or higher in each graded course will be required for successful completion of the Certificate program. Enrollees will be responsible for keeping track of the courses they take. To oversee students' progress in the program, enrollees will be required to submit a one-page Program Progress Checklist to the Education Manager at the end of each semester indicating the course(s) completed that semester. The Education Manager will notify the Executive Committee if any students are not making an adequate progress towards the Certificate. The Committee will make recommendations for remediation or any further action to assist students in successfully completing the program.

Exit Standards: Students who complete all required coursework will submit a checklist to the Center for Clinical Investigation notifying the Center for Clinical Investigation's Education Administrator/Manager that all coursework is completed. Students will also submit a copy of their CREC certification. This administrator will verify with the registrar's office that all requirements have been met. After this verification, the Academic Program Director will approve the awarding of the certificate in writing, and the Administrator/Manager will issue a certificate to the enrollee, documenting completion of the program.

vii. Faculty expertise contributing to the certificate program.

Faculty responsible for the Certificate program will be drawn from the CWRU School of Medicine's Department of Epidemiology and Biostatistics, the Department of Medicine, the Center for Clinical Investigation, the MetroHealth Medical Center, and the Cleveland Clinic Lerner College of Medicine. Faculty members currently responsible for the required coursework are:

CRSP 401 – Introduction to Clinical Research

Lecturer & Coordinator

Doug Einstadter, MD, MPH

Professor, Department of Medicine, CWRU School of Medicine; Member, Center for Health Care Research and Policy; Staff Physician, Department of Medicine, MetroHealth Medical Center. Research interests include: use of large databases in health services research; application of geographic information systems to health services research; use of informatics to improve quality of care.

Lecturers

David Aron, MD, MS

Professor, Department of Medicine, CWRU School of Medicine; Associate Chief of Staff for Education, Louis Stokes Cleveland VA Medical Center; Director, VA National Quality Scholar Fellowship Program in Ohio; Director, Center for Quality Improvement Research, VA Medical Center.

Shari Bolen, MD, MPH

Assistant Professor, Department of Medicine, CWRU School of Medicine; Physician, Division of Internal Medicine, MetroHealth Medical Center. Dr. Bolen conducts health services research in diabetes and obesity, with an emphasis on ways to improve care. Research interests include: comparative effectiveness, systematic reviews/meta-analyses.

Randall Cebul, MD

Professor, Department of Medicine, CWRU School of Medicine; Director, Center for Health Care Research and Policy, MetroHealth Medical Center; Director, Better Health Greater Cleveland. Research interests involve: epidemiologic methods; information technology and the decision sciences to examine and improve health care delivery, emphasizing preventive services and the care and outcomes for persons with chronic illnesses.

Philip Cola, MA

Vice-President, Research and Technology, IRB Administrative Office Head, University Hospitals Case Medical Center. Areas of expertise include: ethical conduct of research, research regulations.

David Kaelber, MD, PhD, MPH

Assistant Professor, Departments of Medicine and Pediatrics, CWRU School of Medicine; Chief Medical Informatics Officer, Division of Internal Medicine and Pediatrics, MetroHealth Medical Center. Research interests include: medical informatics, medical education, chronic diseases (hypertension and obesity) in children and adolescents.

Steven A. Lewis, MS, MBA

Research Biostatistician, MetroHealth Medical Center. Research interests consist of: categorical data analysis, generalized linear models, multivariate methods, sample size determination, and data visualization.

Thomas Love, PhD

Associate Professor, Department of Medicine, CWRU School of Medicine; Director, Biostatistics and Evaluation Unit, Center for Health Care Research and Policy, MetroHealth Medical Center. Research interests include: biostatistics, observational studies and propensity methods, risk adjustment, health information technology, education.

Joe Sudano, PhD

Assistant Professor, Department of Medicine, CWRU School of Medicine; Senior Researcher, Center For Health Care Research and Policy, MetroHealth Medical Center; Associate Director of Education, Center for Reducing Health Disparities, MetroHealth Medical Center. Research interests include: health care disparities; social determinants of health; measurement equivalence, validity, and item-response theory in cross-cultural health status measurement; health outcomes research.

Tracy J. Wilson-Holden

Director, Research Integrity and Education, Office of Research Compliance, CWRU. Area of expertise: ethical conduct of research, especially management of research data.

Mark Votruba, PhD

Associate Professor, Department of Economics, Weatherhead School of Management; Director, Health Economics Research Unit, Center For Health Care Research and Policy, MetroHealth Medical Center. Research Interests include health economics (allocation of medical resources, incentives for care, insurance markets) and public economics (social program participation, social interactions effects).

CRSP 402 – Study Design and Epidemiologic Methods

Doug Einstadter, MD, MPH

Professor, Department of Medicine, CWRU School of Medicine; Member, Center for Health Care Research and Policy; Staff Physician, Department of Medicine, MetroHealth Medical Center. Research interests include: use of large databases in health services research; application of geographic information systems to health services research; use of informatics to improve quality of care.

CRSP 431 – Statistical Methods I

Ralph O'Brien, PhD

Professor, Department of Epidemiology & Biostatistics, CWRU School of Medicine. Areas of expertise include: statistical science, especially sample-size analysis and robust tests for assessing variability differences.

CRSP 603 – Research Ethics and Regulation

Nicole Deming, JD, MA

Assistant Professor, Department of Bioethics, CWRU School of Medicine; Center for Biomedical Ethics at MetroHealth Medical Center. Research interests include: informed consent process, patient/physician communication, professionalism, research regulations, and living organ transplants.

Faculty Expertise for Counterpart Medical School Courses

CMED 401 – Introduction to Clinical Research

Course Director

Matthew Karafa, PhD

Assistant Professor, CCLCM; Quantitative Health Sciences Project Staff, Cleveland Clinic Foundation.

Lecturers

Carolyn Apperson-Hansen, Mstat

Director, Research Concierge, Clinical and Translational Science Collaborative, CWRU. Ms. Apperson-Hansen provides support in all phases of clinical and translational sciences in the regulatory and technology areas as well as assists inexperienced investigators to understand research study needs and navigate multi-disciplinary research processes. She has extensive experience in statistical analyses and database management.

Alex Fu, PhD

Assistant Professor, CCLCM; Associate Staff, Quantitative Health Sciences, Cleveland Clinic Foundation. Dr. Fu's research interests include: pharmacoconomics, utility assessment, health policy evaluation, propensity score method, and econometrics, particularly in the areas of diabetes and mental illness.

Gretchen Hallerberg, Medical Library Director, Cleveland Clinic Foundation

Michael Kattan, MBA, PhD

Professor, Department of Medicine, CCLCM; Chairman, Department of Quantitative Health Sciences, Cleveland Clinic Foundation.

Amy Moore, Scientific Publications, Cleveland Clinic Foundation

Nancy Obuchowski, PhD

Professor, CCLCM; Vice Chair, Quantitative Health Sciences, Cleveland Clinic Foundation. Research interests include: design and analysis of studies of screening and diagnostic tests; extension of Receiver Operating Characteristic (ROC) analysis to nominal, ordinal, or continuous outcomes; testing the equivalence of diagnostic tests.

Ralph O'Brien, PhD

Professor, Department of Epidemiology & Biostatistics, CWRU School of Medicine. Areas of expertise include: statistical science, especially sample-size analysis and robust tests for assessing variability differences.

Carmen Paradis, MD

Clinical Assistant Professor, CCLCM; Center for Ethics, Humanities and Spiritual Care, Cleveland Clinic Foundation; Member, Institutional Review Board, Cleveland Clinic Foundation; Research Subject Advocate, Clinical and Translational Science Collaborative Research Unit, CWRU. Research interests include: research ethics, informed consent, and ethics education.

Shannon Morrison, MS

Statistical Programmer, Quantitative Health Sciences, Cleveland Clinic Foundation.

CMED 402 – Statistical Science for Medical Research

Amy Nowacki, PhD

Assistant Professor, CCLCM; Assistant Staff, Department of Quantitative Health Sciences, Cleveland Clinic Foundation. Research interests include: clinical trial design and randomization schemes, prediction, validation, and statistical education.

CMED 403 – Introduction to Clinical Epidemiology

Course Directors

Peter Imrey, PhD

Professor, Department of Medicine, CCLCM; Staff, Department of Quantitative Health Sciences, Cleveland Clinic Foundation. Research interests include: analysis of multivariate categorical data; linear models; sample survey methods; quantitative epidemiology.

Daniel Sessler, MD

Professor, Department of Anesthesiology, CCLCM; Chair, Department of Outcomes Research, Cleveland Clinic Foundation. Dr. Sessler coordinates more than a hundred studies, including large, multi-center outcome trials.

viii. New resources, courses, etc., if any, necessary to support certificate program.

Managerial and administrative tasks necessary for the proposed Certificate program will be added to the Center for Clinical Investigation's Executive Committee and Education Administrator/Manager's responsibilities, respectively. The extra effort to implement the program is minimal. The CRSP Master's degree program generates adequate financial resources to conduct the courses, and the current CRSP courses will be able to handle additional students that are projected. No other input is required to support the program.

Appendix 1

Table 1: Annual Enrollment in CRSP 401 “Introduction to Clinical Research”

Year	Number
2002	44
2003	26
2004	47
2005	40
2006	55
2007	62
2008	45
2009	49
2010	78
Total:	446

Table 2: Annual Enrollment in CRSP 401 by Academic Level*

		ACADEMIC LEVEL			
Year	Total	Faculty	Fellows	Medical Residents	Other
2006	55	8	31	15	1
2007	62	5	33	23	1
2008	45	5	22	15	3
2009	49	3	32	12	2
2010	78	4	62	11	1
Total	289	25	180	76	8

*Enrollment breakdowns by academic level unavailable for years previous to 2006

Appendix 2

Example Certificate Programs

Institution	Required Coursework Topics	Credit Hr Requirements
Columbia (pre-doc)	<ul style="list-style-type: none"> • Principles of Epidemiology • Biomedical Informatics • Research Ethics • Clinical Trials • Biostatistics • Practicum 	6 semester hrs
University of Pennsylvania	<ul style="list-style-type: none"> • Research methods/study design • Biostatistics • Database management • Ethical Scientific-Research conduct 	9 semester hrs
University of Tennessee	<ul style="list-style-type: none"> • Fundamentals of Clinical Investigation • Biostatistics • Principles of Epidemiology • Ethical and Legal Issues in Clinical Research 	12 semester hrs
UC Berkeley	<ul style="list-style-type: none"> • Introduction to Clinical Research: Clinical Trial Phases and Design • Clinical Trial Planning: Protocol Development, Data Management, and Clinical Site Activities • Clinical Trial Implementation: Site Initiation, Subject Recruitment, Monitoring, and Safety Reporting • Clinical Trial: Data Analysis, Regulatory Audits, Vendor Selection, and Project Management 	12 semester hrs
University of Pittsburgh	<ul style="list-style-type: none"> • Clinical research methods • Biostatistics • Computer Methods • Measurement • Ethics and Regulation of Research 	15 credit hrs
University of Oregon (bench focus)	<ul style="list-style-type: none"> • Clinical Research design • Biostatistics • Proposal development • Evidence Based medicine • Molecular Biology 	24 semester hrs

Pamela B. Davis, M.D., Ph.D.
Dean
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To: Pamela B. Davis, M.D., Ph.D.
Dean, School of Medicine

From: Jill Barnholtz-Sloan, Ph.D.
Chair, Faculty Council 2011-2012



Date: January 24, 2012

Re: Proposal for the Certificate Program in Clinical Research

At its meeting on January 23, 2012, Faculty Council reviewed a proposed new Certificate Program in Clinical Research.

The proposed Certificate program will be administered by the Center for Clinical Investigation and will provide foundation training in clinical research methods for clinical-translational scientists. The proposed Certificate program targets clinicians and other health-science professionals who desire further training in clinical research skills to enhance their abilities as clinician-scientists, but who lack adequate time or resources to obtain a formal degree in clinical research. Health-science students, basic-science researchers, and other health-science professionals who desire greater knowledge and skill in clinical research may also be interested.

The proposed Certificate program is designed to provide a firm grounding in the method and conduct of patient-oriented clinical research. After completion of the program, graduates will be better able to conduct clinical research, as well as collaborate with other clinician-scientists conducting clinical research.

Accordingly, the Faculty Council concluded the Certificate Program in Clinical Research would be beneficial for the initial estimated 8 students that would be interested in enrolling per year (with increasing participation anticipated in subsequent years). By a vote of 33 in favor; 0 against, 0 abstain, the proposal was recommended for approval.

Please review the proposal and add any additional comments; then forward to the University Faculty Senate for its review and recommendation.

Thank you.



SCHOOL OF MEDICINE

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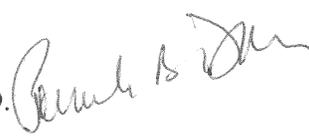
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Memorandum

To: Gary Chottiner, Ph.D.
Chair, Faculty Senate

From: Pamela B. Davis, M.D., Ph.D.
Dean, School of Medicine



Date: January 25, 2012

Re: Proposal for the Certificate Program in Clinical Research

Enclosed please find a proposal for a new Certificate Program in Clinical Research. The program has been recommended for approval by the Faculty Council of the School of Medicine, acting under our Bylaws for the Faculty of Medicine, and has my enthusiastic endorsement.

I understand that the process for further review includes oversight by the Faculty Senate's Graduate Studies Committee and the Faculty Senate as a whole. Please let me know if I can provide any additional information.

Thank you for your consideration.

C: (all w/o enclosures): Jill Barnholtz-Sloan, Ph.D.
James Spilsbury, Ph.D.



SCHOOL OF MEDICINE

CASE WESTERN RESERVE
UNIVERSITY



FRANCES PAYNE BOLTON
SCHOOL OF NURSING

CASE WESTERN RESERVE
UNIVERSITY

February 7, 2012

Charles Rozek, Ph.D.
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Dear Dr. Rozek:

This letter is written to express my enthusiastic support for establishing a dual degree program consisting of an MSN and PhD to be conferred by the schools of nursing and graduate studies, respectively. The key advantage of this dual degree program is that it will facilitate the completion of an MSN degree for BSN to PhD students who want to obtain an MSN degree in a specialized area along the way. Advanced knowledge within a clinical specialty will enrich the BSN to PhD student's potential for completing scientific research that will lead to the development of new knowledge that will advance and transform future nursing practice. The combined MSN/PhD degree program would make it possible to complete both degrees in a minimum of 5 years (depending on specialty area). The proposed overlap of a maximum of eight credits would shorten the time frame for completing both degrees by one semester.

This proposal has been presented and discussed within several faculty and program meetings, including the School of Nursing's PhD Council and among faculty who teach in the specialized MSN courses. The proposal was presented to the full faculty on December 6, 2011 and received an overwhelming majority vote for its approval to move forward. Please initiate the approval process for the MSN/PhD program and feel free to let me know if additional information is needed.

Sincerely,

A handwritten signature in cursive script that reads "Mary E Kerr".

Mary E. Kerr, PhD, RN, FAAN

MSN / PhD in Nursing Dual Degree Proposal - REVISED

This document contains a proposal for a dual degree between the School of Nursing (MSN degree) and the School of Graduate Studies (PhD in nursing degree).

Justification

In 2008, the Frances Payne Bolton School of Nursing (**FPBSON**), Case Western Reserve University (**CWRU**) celebrated 85 years of excellence in nursing education, based on Congresswoman Frances P. Bolton's philosophy of the need for a strong scientific base for nursing practice. The Bolton School's tradition of leadership and strength in nursing research began in 1963, when a Faculty Research Development Grant funded by the Division of Nursing, was received to foster and promote a climate of inquiry appropriate for a school of professional nursing. Followed by the Nurse Scientist Training Program in the 1970's and the receipt of a Nursing Research Emphasis Grant for Doctoral Programs in the 1980's, research and doctoral study were established at the School. Our faculty's research has grown in breadth and depth since then. We have a 15-year history of being a top tier school of nursing nationally in NIH funding and experience with institutional research training grants.

In 1972, the **Doctor of Philosophy (PhD) in nursing program** at CWRU began. The purpose of this pioneering program was to expand and extend nursing science. PhD study builds on clinical expertise in nursing and development of research competence toward the improvement of nursing practice and health care. The PhD in Nursing is awarded in recognition of depth of knowledge in an area of nursing science, a comprehensive understanding of related content, and demonstrated ability to engage in scholarship and independent investigation. Besides a traditional semester-format PhD program, a summer PhD program has existed for over 20 years. Additionally, for nearly two decades, students have been admitted into our BSN to PhD program. More recently, a fast-track PhD program has been developed for BSN nurses to pursue a PhD degree without requiring them to earn a masters degree in nursing.

The FPBSON offers the **Master of Science in Nursing (MSN)** degree in 12 major areas of specialization. The MSN program was begun in 1938 and has the distinction of being the home of the first acute care Nurse Practitioner (NP) program and the first Flight Nursing program. Although the MSN degree is an essential prerequisite for the DNP degree, it is not required for the PhD. However, since the inception of the revised, fast-track BSN to PhD program in fall 2002, approximately 40% of the students who have enrolled in our BSN to PhD program, have chosen to complete the MSN degree along the way. However, because a combined MSN/PhD program does not currently exist, students were expected to complete all course requirements for each of the two degree programs.

Faculty at the FPBSON believe that students admitted to the BSN to PhD program (including those from FPB and those from other Universities) are highly motivated and qualified for successfully achieving their ultimate career goal as a future nurse scientist. And, one major aim of the BSN to PhD is to prepare nurse scientists more quickly in order to facilitate a longer research trajectory. Hence, requiring that they complete all course requirements for both programs prolongs their educational program and postpones their ability to begin careers as independent researchers. Therefore, the dual degree program that we are proposing, the combined MSN/PhD degree will facilitate earlier completion of the PhD degree with the completion of the MSN degree during which BSN to PhD students will obtain knowledge in one of the 12 specialized areas of nursing. Advanced knowledge within a clinical specialty will enrich the BSN to PhD student's potential for completing scientific research that will lead to the development of new knowledge that will advance and transform future nursing practice.

PhD in Nursing Curriculum and Structure

Course Requirements. The core courses constituting the PhD in nursing curriculum include courses in knowledge development and theory, research methods and statistics, and specialized, related courses pertinent to the student's research interests (Table 1). Courses are designed to help students develop in-depth knowledge in a focused area of research that is important to nursing practice. This knowledge includes the state of the evidence related to their focal area as well as ways to measure and analyze individual, family, social, environmental, and organizational variables that may influence clinical outcomes in that focal area.

Table 1. Required Courses for the PhD in nursing program

Content Areas	Required Courses and Credits
Knowledge Development and Theory (6 credits)	NURS 506: Nursing Epistemology (3 credits)
	NURS 511: Strategies for Theory Development (3 credits)
Research Methods (9 credits)	NURS 518: Qualitative Research Methods (3 credits)
	NURS 530: Advanced Research Methods I (3 credits)
	NURS 531: Advanced Research Methods II (3 credits)
Statistics (9 credits)	NURS 532: Basic Statistics (3 credits)
	NURS 630: Linear Models (3 credits)
	NURS 631: Multivariate Analysis (3 credits)
Specialized / Related Courses (15 credits)	Substantive Elective / Independent Study (3-6 credits)
	NURS 609: Health Policy Seminar (3 credits)
	NURS 615: Topical Seminar in Health Care (3-6 credits)
	NURS 671: Proposal Development (minimum 3 credits)
Dissertation	NURS 701: Dissertation (18 credits)

PhD courses in nursing are conducted in a seminar format. The faculty member and students select appropriate readings for the topics to be discussed each week. Application of course content to the student's research interest is facilitated through class discussion and course assignments. All assignments provide students the opportunity to apply the skills learned in the course to their area of interest. For example, in research methods courses, students critique published research, write an integrative review of research in their areas of interest, and design a research study. In theory courses, students participate in scholarly debates about issues in knowledge development in nursing, discuss the gaps and knowledge development needs in their area of interest, and write a paper using a theory construction method (concept, statement, or theory analysis). In the statistics courses, students critique application and interpretation of published research and practice data analysis skills using faculty datasets. The faculty provides feedback to students about written work and is available to discuss issues with them. Papers written by students during all required courses follow "instructions for authors" for manuscripts for publication in professional journals, students are encouraged to submit them, and many students have been successful in publishing these papers.

At the end of each course, students evaluate the course and the faculty member; these evaluations are summarized by secretarial support staff. Course evaluations are used by faculty to identify the need for course modifications and are the focus of the end of semester report to the PhD Council that is the faculty oversight committee for the program. Evaluations of teaching performance also are an important part of yearly faculty review and promotion and tenure consideration.

Each nursing PhD student's program is tailored to meet his /her specific research interests and learning needs. Students select the **NURS 615: Topical Seminar in Health Care Research** courses to develop expertise in their area of research interest. Courses may also be taken from outside the FPBSON in the student's research area. Such courses are identified as substantive in nature and are selected to prepare students to ask cutting edge questions about phenomena of interest to nursing and to design independent research to answer these questions. Students can elect to take additional credits using the **NURS 601: Independent Study** mechanism to study a phenomenon in more depth than is possible in a classroom setting or to work with a faculty member in another discipline around a specific issue. This mechanism has been very successful for students who have wanted to learn to conduct animal studies, perform specific lab assays, and use equipment to measure pulmonary mechanics, or conduct secondary analyses with large, preexisting national databases (i.e., Census data). Students who use NURS 601 credits to work with faculty in other disciplines have had the added benefit of interacting with doctoral students in these other disciplines. Faculty members in other disciplines who supervise NURS 601 often serve as the fourth member on the student's dissertation committee.

Required Research Practicum. A 240-hour research practicum is required before taking the candidacy examination, usually during the first and second years of full time study. The research process is complex and course work provides the student with theoretical understanding. The integration of research concepts and their application is supplemented through this practical experience, which provides the hands on experience in the conduct of a research study under the guidance of a faculty mentor. The objectives for the research practicum are developed by the academic advisor, student, and faculty mentor with whom the student will be working and are approved by the Associate Dean for Doctoral Education. The research practicum often initiates a close collaborative working relationship between the student and the faculty that continues throughout the student's program of study. Outcomes of the research practicum experience typically include presentations and publications with faculty. All PhD students are encouraged to publish at least one manuscript during their doctoral program.

Research Proposal Development. Upon completion of required courses, including the four courses specifically relevant to teaching (described below), PhD students must pass an oral candidacy exam and defend a written research proposal. At this time, PhD students are enrolled in **NURS 671: Proposal Development**. Because students are working full time on the development of a proposal, they are considered as full time students even if enrolled for one credit. In NURS 671, the PhD student begins their proposal development. First, the student selects a faculty member to chair the candidacy committee, often the student's academic advisor. To be eligible to chair a committee, faculty must have served as a member of two candidacy committees and have documented expertise in the student's substantive area. In consultation with the candidacy chair, the student selects two additional faculty members from the FPBSON to serve on the committee, and the combination of expertise provided by these members will support the student's substantive interest and methodological needs. For example, a student interested in cardiac patients with diabetes could combine the expertise of a cardiovascular faculty researcher with the expertise of a faculty diabetes researcher. A fourth faculty member from **CWRU**, but outside the FPBSON, is also selected for the dissertation committee in consultation with the chair. To serve as the fourth member, the **CWRU** faculty member must hold a regular faculty appointment at **CWRU**. The inclusion of clinical or adjunct faculty must be approved by the Associate Dean for Doctoral Education and the Dean for Graduate Studies.

The committee composition is submitted for approval to the Associate Dean for Doctoral Education and the Dean for Graduate Studies to ensure that the committee has the necessary substantive and methodological expertise to conduct the candidacy exam and proposal defense and supervise the dissertation research. When registered for NURS 671, the student works closely with the candidacy chair to develop a written research proposal and when the proposal is sufficiently developed, the oral candidacy examination and proposal defense are held. The examination and proposal provide evidence of the student's knowledge and ability to synthesize and apply research methodologies and existing knowledge. The oral exam focuses on the nursing discipline, research methods, statistics, and substantive knowledge. Upon successful completion of the candidacy exam, students progress to candidate status. In a dissertation proposal defense, the candidate defends the research proposal and following its approval, dissertation research is begun.

Doctoral Dissertation. Following advancement to candidacy and successful defense of the research proposal, students begin work on their dissertation (**NURS 701: Dissertation**). During the semester after advancement to candidacy, the student submits the proposal for human subjects review, obtains permission to use sites for recruitment of subjects, refines data collection instruments, and begins data collection. Starting the dissertation process requires significant input from the student's chair, and students may register for more dissertation credits in that semester. In subsequent semesters, students register for NURS 701 until their dissertation defense. The dissertation is an independent research study designed by the student in collaboration with the 4-member committee that is approved by the Associate Dean for Doctoral Education and **CWRU** School of Graduate Studies. The dissertation must be a significant contribution to existing nursing knowledge and suitable for publication in a peer reviewed journal or book. The written dissertation is evidence of their ability to conduct independent research. Students must prepare their own dissertations; joint dissertations are not permitted. The procedures and written dissertation must conform to **CWRU** School of Graduate Studies regulations. However, students have the opportunity to use a manuscript option to the traditional chapter format for the dissertation document. The manuscripts must be scholarly and publishable in highly regarded professional journals, as approved by the student's dissertation committee. That is to say, the manuscript(s) submitted in lieu of the traditional dissertation must meet the requirements for publication in a scholarly nursing research journal and be ready for submission prior to graduation. All requirements for the PhD degree must be completed within 5 years from first registration for dissertation credits.

MSN Curriculum and Structure

The FPBSON provides several entry options to the **MSN program**, including the traditional path for those with a BSN. The MSN program itself requires a minimum of 36 credit hours to graduate, but the majors require an average of 40 credit hours of graduate credit for the student who enters with a BSN degree. In most cases, courses are completed in three or four semesters (which may include the summer). The MSN program offers 12 different majors / areas of clinical specialization. Courses are offered in traditional and nontraditional formats, including intensive, web-based, and weekend courses. Some majors can be completed in a semi-distance format with limited trips to campus, making the MSN program feasible for students not living in the area. Individualized study plans are designed to meet individual clinical interests, learning needs, and career goals. Students can choose either a part-time or full-time program, with full-time consisting of 9 or more credits per semester and part-time being anything less. Clinical and research experiences are an integral part of the MSN program; most majors require a minimum of 500 clinical hours, though some programs require more. To be awarded an MSN degree, the student must have a cumulative GPA of 3.0 and received a satisfactory grade of B or better in all nursing courses taken for credit as a MSN student. Degree requirements must be completed within 5 years of initial enrollment.

Course Requirements of the MSN program.

As described above, students in the MSN program choose from several different majors, but all students must take ten core courses and must complete the required number of credit hours as well as clinical hours for the major area of specialization they select. The ten core courses comprise the core areas of professional development and scientific inquiry. Three additional core courses are required for those majors that prepare students as nurse practitioners. The general curriculum pattern constituting the core requirements is displayed in table 2.

Table 2. Core Curriculum for all MSN Majors

Professional Development Core (6 courses)		
Course Number	Course Title	Credit hours
NURS 443A	Collaboration and consultation	1
NURS 443B	Role development	1
NURS 443C	Teaching and learning	1
NURS 444A	Ethical issues	1
NURS 444B	Finance issues	1
NURS 444C	Policy and legal issues	1
Scientific / Inquiry Core (4 courses)		
Course Number	Course Title	Credit hours
NURS 405	Theoretical foundations	3
NURS 425	Research process	3
NURS 502	Evidence-based practice	2
NURS 503	Inquiry practicum	1
Nursing Practice Core (3 courses)*		
Course Number	Course Title	Credit hours
NURS 430	Pharmacology and therapeutics	3
NURS 453	Physiological foundations	4
NURS 459	Integrated assessment	3

In the **MSN program**, the 12 major areas of specialization include six nurse practitioner (NP) majors (acute care, adult/gerontology, pediatrics, neonatal, family, and women's health), two blended role majors (adult oncology and family systems psychiatric mental health), and four others (public health, nurse anesthesia, nurse midwifery, and informatics). Blending of two majors and joint MSN degrees with business administration, anthropology, bioethics, and public health are also possible. Sample program plans across the various majors appear in Tables 3-14. Tables 3-8 describe sample FT program plans for the six NP majors; tables 9-10 list courses for sample FT plans for the two blended CNS/NP programs; and tables 11-14 provide sample for FT study for the four other nursing majors. Although space does not permit the inclusion of sample PT study plans, PT study for all MSN majors is also possible.

Table 3 presents a sample program plan for FT study in the Acute Care NP (ACNP) major. This major requires at least 39 credit hours of coursework and 600 clinical hours. Recent experience in adult intensive care (ICU) nursing is required. Within this major, there are two subspecialties: flight nursing and cardiovascular nursing.

Table 3. Sample FT study plan for ACNP

Fall Semester – Year 1	Spring Semester –Year 1	
Theoretical foundations (3)	Pharmacology/therapeutics (3)	
Theoretical foundations of acute nursing care (4)	Acute health problems (6)	
Physiological foundations (4)	Research process (3)	
Assessment (3)	Collaboration/consultation (1)	
	Role development (1)	
Fall Semester – Year 2	Spring Semester – Year 2 (option)	
Evidence-based practice (2)	<u>Flight Nursing</u>	<u>Cardiovascular</u>
Inquiry practicum (1)	Flight nursing seminar 1 (1)	Special assessment (2)
Management acutely ill adults (4)	Emergent care of children (2)	Cardiovascular seminar I (1)
Ethical issues (1)	Flight nursing seminar II (1)	Cardiovascular seminar II (1)
Finance issues (1)	Advanced internship (1-5)	Advanced internship (1-5)
Policy and legal issues (1)		

Table 4 presents a sample program plan for FT study in the neonatal NP (NNP) major. Required for this major is two years of NICU nursing experience. The NNP major requires 40 credit hours of coursework, plus about 600 clinical hours. Course work is usually completed within 24 months (4 semesters) for FT students.

Table 4. Sample FT study plan for NNP

Fall Semester – Year 1	Spring Semester –Year 1	Summer Semester –Year 1
Theoretical foundations (3)	Pharmacology / therapeutics (3)	Evidence-based practice (2)
Newborn assessment (3)	Neonatal NP II (4)	Neonatal NP III(3)
Physiological foundations (4)	Research process (3)	
Neonatal NP I (3)	Collaboration/consultation (1)	
	Role development (1)	
Fall Semester – Year 2		
Neonatal NP IV (5)		
Inquiry practicum (1)		
Ethical issues (1)		
Finance issues (1)		
Policy and legal issues (1)		

Table 5 presents a sample program plan for FT study in the pediatric NP (PNP) major. The PNP major requires 40 credit hours of coursework, plus about 600 clinical hours. Coursework is usually completed within 18 months (4 semesters) for FT students; courses are offered in a distance-friendly format that requires about 8 visits to campus. Within this major, subspecialization in cardiovascular nursing is possible.

Table 5. Sample FT study plan for PNP

Fall Semester – Year 1	Spring Semester –Year 1	Summer Semester – Year 1
Theoretical foundations (3)	Pharmacology / therapeutics (3)	Evidence-based practice (2)
Pediatric development and health promotion (2)	Acute and common problems of the pediatric patient (6)	Collaboration/consultation (1)
Health promotion (2)	Research process (3)	Role development (1)
Physiological foundations (4)		Teaching and learning (1)
Assessment (3)		
Fall Semester - Year 2	Spring Semester–Year 2 Cardiovascular subspecialty	
Management of complex child health problems (5)	Assessment (2)	
Inquiry practicum (1)	Advanced internship (1-5)	
Ethical issues (1)	Cardiovascular seminar I (1)	
Finance issues (1)	Cardiovascular seminar II (1)	
Policy and legal issues (1)		

Table 6 presents a sample program plan for FT study in the adult/gerontology NP major. This major requires 41 hours of coursework, plus about 600 clinical hours. Coursework is usually completed within 18 months (4 semesters) for FT students; courses are offered in a distance-friendly format that requires about 8 visits to campus. Within this major, there are two subspecialties: cardiovascular nursing and infection control.

Table 6. Sample FT study plan for adult / gerontology NP

Fall Semester – Year 1	Spring Semester –Year 1	Summer Semester –Year 1
Theoretical foundations (3)	Pharmacology/therapeutics (3)	Evidence-based practice (2)
Physiological foundations (4)	Acute/common problems (5)	Primary care of older adults (4)
Health promotion (2)	Research process (3)	Role development (1)
Assessment (3)	Collaboration/consultation (1)	Teaching and learning (1)
Fall Semester – Year 2	Spring Semester –Year 2 (option)	
Complex management of chronic illness (5)	<u>Infection control</u>	<u>Cardiovascular</u>
Inquiry practicum (1)	Epidemiology (3)	Assessment (2)
Ethical issues (1)	Infectious disease epidemiology (3)	Cardiovascular seminar I (1)
Finance issues (1)	Infection control (3)	Cardiovascular seminar II (1)
Policy and legal issues (1)	Infection control practicum (1)	Advanced internship (1-5)

Table 7 presents a sample program plan for FT study in the women's health NP (WHNP) major. This major requires 38 credit hours of coursework, and 600 clinical hours. Coursework is usually completed within 12 months (4 semesters) for FT students; some courses are offered in an intensive format that requires limited visits to campus.

Table 7. Sample FT study plan for WHNP

Fall Semester – Year 1	Spring Semester –Year 1	Summer Semester –Yr 1
Theoretical foundations (3)	Pharmacology / therapeutics (3)	Primary care of women (4)
Health promotion (2)	Childbearing family (4)	
Physiological foundations (4)	Research process (3)	
Assessment (3)		
Well women health care (3)		
Fall Semester – Year 2		
Evidence-based practice (2)		
Inquiry practicum (1)		
Collaboration/consultation (1)		
Role development (1)		
Teaching and learning (1)		
Ethical issues (1)		
Finance issues (1)		
Policy and legal issues (1)		

Table 8 presents a sample program plan for FT study in the family NP (FNP) major. The FNP major requires 40 credit hours of coursework and about 600 clinical hours. Coursework is usually completed in 18 months (4 semesters) for FT students; courses are offered in a distance-friendly format that requires only 8 visits to campus. Subspecialization in cardiovascular nursing is possible.

Table 8. Sample FT study plan for FNP

Fall Semester – Year 1	Spring Semester –Year 1	Summer Semester – Year 1
Theoretical foundations (3)	Pharmacology/therapeutics (3)	Evidence-based practice (2)
Health promotion (2)	Adult clinical management (5)	Collaboration/consultation (1)
Physiological foundations (4)	Research process (3)	Family health nursing (4)
Assessment (3)		
Fall Semester – Year 2	Spring Semester –Year 2 - <u>Cardiovascular subspecialty</u>	
Child and adolescent clinical management (4)	Assessment (3)	
Inquiry practicum (1)	Cardiovascular seminar 1 (1)	
Role development (1)	Cardiovascular seminar 11 (1)	
Teaching and learning (1)	Advanced internship (1-5)	
Ethical issues (1)		
Finance issues (1)		
Policy and legal issues (1)		

Table 9 presents a sample program plan for FT study in the blended role program focused on family systems psychiatric and mental health (PMH) nursing. Graduates are eligible for certification as a PMH nursing CNS and NP. The major requires 45 credit hours of coursework and 720 clinical hours. Coursework is usually completed within 4 semesters for FT students.

Table 9. Sample FT study plan for psychiatric and mental health nursing CNS / NP

Fall Semester - Year 1	Spring Semester- Year 1	Summer Semester – Year 1
Theoretical foundations (3)	Integrated assessment (3)	Research process (3)
Physiological foundations (4)	Pharmacology/therapeutics (3)	Individual / group modalities (3)
Advanced psychopathology (child / adolescent) (2)	Psychopharmacology (2)	Practicum and supervision: individual / group (2)
General systems theory: foundations for practice (2)	Advanced psychopathology (adult / older adult) (2)	
Advanced seminar: blended role (1)	Family systems theory (2)	
	Family systems: Integration(1)	
Fall Semester-Year 2		
Evidence-based practice (2)		
Inquiry practicum (1)		
Modalities for family practice (3)		
Theory for practice, supervision, consultation, and education (3)		
Practicum and supervision (3)		
Management advanced practice (3)		

Table 10 presents a sample program plan for FT study in adult oncology / palliative care. Graduates of this program are eligible for adult NP certification and/or oncology NP certification, oncology CNS certification, or certification in palliative care. Entry into this major requires one year of oncology or medical-surgical nursing experience. The major requires 40-41 credit hours of coursework, plus about 500 clinical hours. Coursework is usually completed within 24 months (4 semesters) for FT students.

Table 10. Sample FT study plan for advanced practice adult oncology / palliative care NP

Fall Semester – Year 1	Spring Semester –Year 1
Physiological foundations (4)	Pharmacology / therapeutics (3)
Assessment (3)	Adult clinical management (5)
Individual counseling (1)	Theoretical foundations (3)
Collaboration/consultation (1)	
Role development (1)	
Teaching and learning (1)	
Fall Semester – Year 2	Spring Semester –Year 2
Advanced oncology nursing (4)	Evidence-based practice (2)
Symptom management I (1)	Inquiry practicum (1)
Research process (3)	Advanced practice in oncology and palliative care nursing (4)
Ethical issues (1)	Symptom management II (1)
Finance issues (1)	
Policy and legal issues (1)	

Table 11 presents a sample program plan for FT study in the advanced public health nursing major. This major requires up to 40.5 credit hours of coursework and about 500 clinical hours. For FT students, the coursework is usually completed within 24 months (4 semesters). Subspecialization in infection control is possible.

Table 11. Sample FT study plan for the advanced public health nursing major

Fall Semester -Year 1	Spring Semester – Year 1	Summer Semester – Year 1
Theoretical foundations (3)	Research process (3)	Evidence-based practice (2)
Health promotion (2)	Health policy (3)	Collaboration/consultation (1)
PH nursing: Foundations (3)	Leadership in organizations (4)	Role development (1)
Collaboration/administration in health care delivery systems (3)	PH nursing: Assessment and planning (2)	Teaching / learning (1)
Epidemiology (3)		Action research (1)
		PH nursing: program evaluation (2)
Fall Semester – Year 2	Spring Semester – Year 2	
Inquiry practicum (1)	<u>Infection Control Subspecialty</u>	
Health care delivery: legal and ethical issues (1)	Epidemiology (3)	
PH nursing clinical (1.5-4.5)	Infectious disease (3)	
	Infection control (3)	
	Infection control practicum (1)	

Table 12 presents a sample program plan for FT study in the nurse midwifery major, Nurse midwife students must complete 48 credits of coursework and work with a clinical preceptor in outpatient, in-patient, and out-of-hospital settings to provide optimal care to women in the antepartum, intrapartum, and postpartum periods. Graduates are eligible for certification by the American Midwifery Certification Board. With the addition of 3 clinical hours, students are eligible for dual certification in Women's Health

Table 12. Sample FT study plan for the nurse midwifery major

Fall Semester – Year 1	Spring Semester –Year 1	Summer Semester –Year 1
Theoretical foundations (3)	Pharmacology / therapeutics (3)	Primary care for women (4)
Physiological foundations (4)	The childbearing family (4)	
Assessment (3)	Research process (3)	
Well women health care (3)	Collaboration/consultation (1)	
	Teaching and learning (1)	
Fall Semester – Year 2	Spring Semester –Year 2	
Labor and birth (5)	Advanced nurse midwifery (6)	
Newborn assessment (1)	Inquiry practicum (1)	
Health promotion (2)	Ethical issues (1)	
Evidence-based practice (2)	Finance issues (1)	

Table 13 presents a sample program plan for FT study in the nursing informatics major. The nursing informatics major requires 37 credits of coursework (many online), plus a 500-hour internship to obtain practical experience as a nursing informatics specialist (NIS) in clinical, educational, research, and administrative settings. Coursework is usually completed within 3 semesters, and the 500-hour internship may be credited toward the required 2,000 hours for certification as a Nursing Informatics Specialist through the ANCC.

Table 13. Sample FT study plan for nursing informatics major

Fall Semester – Year 1	Spring Semester –Year 1
Organizational theory (3)	Advanced informatics (4)
Intro to information systems (3)	Research process (3)
Theoretical foundations of nursing informatics (4)	Evidence-based practice (2)
Theoretical foundations (3)	Collaboration/consultation (1)
	Teaching and learning (1)
Fall Semester – Year 2	Role development (1)
Internship in informatics (5)	
Health care information systems (3)	
Inquiry practicum (1)	
Ethical issues (1)	
Finance issues (1)	
Policy and legal issues (1)	

Table 14 presents a sample program plan for FT study in the nurse anesthesia major. This major requires 40 credit hours of coursework and over 600 clinical hours. For FT students, coursework is usually completed within 28 months. Graduates are eligible for certification by the Council on Certification of Nurse Anesthetists.

Table 14. Sample FT study plan for the nurse anesthesia major

Fall Semester - Year 1	Spring Semester –Year 1	Summer Semester –Year 1
Principles of anesthesia (2)	Theoretical foundations (3)	Anesthesia nursing III (1)
Pharmacological strategies (2)	Physiological responses I (2)	Physiological responses III(4)
Anesthesia nursing I (2)	Physiological/responses II (3)	Ethical issues (1)
Collaboration/consultation (1)	Anesthesia nursing II (1)	Finance issues (1)
Role development (1)		Policy and legal issues (1)
Teaching and learning (1)		
Fall Semester – Year 2	Spring Semester –Year 2	Summer Semester –Year 2
Research process (3)	Nurse anesthesia advanced II (2)	Nurse anesthesia advanced III (1)
Physiological responses IV (3)	Evidence-based practice (2)	
Nurse anesthesia advanced (1)	Inquiry practicum (1)	
Fall Semester - Year 3		
Nurse anesthesia advanced (1)		

Dual Degree Curriculum:

Students enrolling in the combined MSN / PhD nursing program complete coursework in primarily a sequential manner with MSN coursework preceding PhD level courses. However, if required pre-requisites for a PhD course are met, BSN to PhD students may take MSN and PhD courses concurrently. An overlap of **up to 8 credits** will be allowed. Table 15 shows the course overlap between the MSN and PhD nursing programs. To be clear, the **8** overlapping credits does not involve the nurse practice core required of MSN student in the nurse practitioner specialty programs or any other clinical content courses required of respective MSN majors. The course overlap is restricted to courses comprising the scientific inquiry and professional development course as shown in table 15 below. The table shows the MSN courses, which we have identified to have overlapping content with PhD courses; **up to an 8 credit overlap** for the combined MSN / PhD program is proposed. Thus, the PhD level theory development (NURS 511), research methods (NURS 530/531) and health policy (NURS 609) courses as listed in Table 15 will “double count” for both the MSN and PhD nursing programs.

Table 15. Core Courses across all MSN Majors and overlap with PhD courses

MSN core courses	PhD nursing courses	Overlap
NURS 405: Theoretical foundations (3)	NURS 511: Theory development (3)	3
NURS 425: Research process (3)	NURS 530/531: Research methods (6)	3
NURS 502: Evidence based practice (2)		
NURS 503: Inquiry practicum (1)	Research practicum	1
NURS 443A: Collaboration/ consultation (1)		
NURS 443B: Role development (1)		
NURS 443C: Teaching and learning (1)		
NURS 444A: Ethical issues (1)		
NURS 444B: Finance issues (1)		
NURS 444C: Policy/ legal issues (1)	NURS 609: Health policy (3)	1

Sample MSN / PhD program plans

Sample program plans for BSN to PhD students who wish to complete the MSN degree along the way appears in the following tables. Table 16 provides a sample program plan for the combined MSN/PhD for the acute care nurse practitioner (ACNP) MSN specialty with subspecialty in cardiovascular nursing. Courses appearing in bolded font and a single asterisk (*) are PhD nursing courses. Those bolded courses with two asterisks (**) are PhD courses to be taken in place of MSN courses constituting an **8 credit** hour overlap. Thus, students enrolled in the MSN/PhD program will not take **8 credits** that MSN students who are not in the combined program are otherwise required to take. As shown in the table, completion of the MSN degree with the ACNP focus (cardiovascular subspecialty) and the PhD nursing degree is expected to take a minimum of 5 years, with the MSN degree awarded after the third year.

Table 16. Sample MSN - PhD program plan for ACNP with cardiovascular subspecialty

Fall Semester – Year 1	Spring Semester –Year 1
Theoretical foundations of acute nursing care (4)	Pharmacology/therapeutics (3)
Physiological foundations (4)	Acute health problems (6)
Assessment (3)	Theory development (3) **
Basic statistics (3) *	Collaboration/consultation (1)
	Role development (1)

Fall Semester – Year 2	Spring Semester – Year 2
Management acutely ill adults (4)	Special assessment (2)
Finance issues (1)	Cardiovascular seminar I (1)
Role development (1)	Cardiovascular seminar II (1)
Health policy (3) **	Advanced internship (1-5)
Evidence-based practice (2)	
Ethical issues (1)	
Fall Semester – Year 3	Spring Semester – Year 3
Epistemology (3) *	Research methods II (3) **
Research methods I (3) **	Qualitative methods (3) *
Linear models (3) *	Multivariate analysis (3) *
Fall Semester – Year 4	Spring Semester – Year 4
Topical Seminar (3) *	Proposal development (1) *
Elective (3) *	Topical Seminar (3) *
Proposal development (3) *	
Fall Semester – Year 5	Spring Semester – Year 5
Dissertation (9) *	Dissertation (9) *

Table 17 provides a sample program plan for the combined MSN/PhD for the advanced practice adult oncology / palliative care nurse practitioner MSN specialty. Again, courses appearing in bolded font and a single asterisk (*) are PhD nursing courses. Those bolded courses with two asterisks (**) are PhD courses to be taken in place of MSN courses constituting an **8 credit overlap**. Thus, students enrolled in the MSN/PhD program will not take **8 credits** that MSN students who are not in the combined program are otherwise required to take. As shown in the table, completion of the MSN degree with the oncology / palliative care focus and the PhD nursing degree is expected to take a minimum of 5 years, with the MSN degree awarded after the second year. Of note is the fact that the awarding of the MSN degree in this MSN specialty takes place one year sooner than the ACNP specialty described above because of course sequencing and / or clinical requirements for the MSN degree.

Table 17. Sample MSN - PhD program plan for advanced practice adult oncology / palliative care NP

Fall Semester – Year 1	Spring Semester –Year 1
Physiological foundations (4)	Pharmacology / therapeutics (3)
Assessment (3)	Adult clinical management (5)
Individual counseling (1)	Theory development (3) **
Collaboration/consultation (1)	
Role development (1)	
Teaching and learning (1)	
Fall Semester – Year 2	Spring Semester –Year 2
Advanced oncology nursing (4)	Evidence-based practice (2)
Symptom management I (1)	Health policy (3) **
Basic statistics (3) *	Advanced practice in oncology and palliative care nursing (4)
Ethical issues (1)	Symptom management II (1)
Finance issues (1)	
Fall Semester – Year 3	Spring Semester –Year 3
Epistemology (3) *	Research methods II (3) **
Research methods I (3)**	Qualitative methods (3) *
Linear models (3) *	Multivariate analysis (3) *

Fall Semester – Year 4	Spring Semester – Year 4
Elective (3) *	Topical Seminar (3) *
Topical Seminar (3) *	Proposal development (1) *
Proposal development (3) *	
Fall Semester – Year 5	Spring Semester – Year 5
Dissertation (9) *	Dissertation (9) *

Dual Degree Student Advising

Dual degree students will be advised concerning matters related to the MSN degree by the Director of the MSN program in the School of Nursing. For matters pertaining to the PhD in nursing degree, they will be advised by the Director of the PhD in nursing program. Together, the two program directors will work with two co-advisors (one from MSN and one from PhD program) to ensure that students enroll in the required courses to meet requirements for the two degrees. However, because students enrolled in the combined MSN/PhD program will be BSN to PhD students, these students must follow the regulations of the School of Graduate Studies and therefore must maintain a GPA of 3.0 or greater. On a biannual basis, at the end of fall and spring semesters, or more frequently if necessary, the two academic co-advisors will meet to discuss the student's progress. Students performing unsatisfactorily in either program will receive a warning to say they have one semester to show substantial improvement. If not, they will be dismissed from the program in which their performance is poor.

Admissions

Target enrollment in the program is expected to be from 1-3 students per academic year. Students with a BSN degree who wish to pursue the PhD nursing degree and obtain an MSN degree in a specialty area along the way will apply to both the MSN and PhD programs simultaneously. Students will therefore submit an application to the School of Nursing, which will forward materials from students who are admissible to that program, to the School of Graduate Studies for consideration for admission to the PhD nursing program. Once admitted to both programs, an academic advisor at the School of Nursing will be appointed upon recommendation of the PhD admissions committee to the Associate Dean for Doctoral Education in the School of Nursing, who will appoint and work with the academic advisor in assisting the student to develop a planned program of study.

Admission requirements include: RN license; an BSN degree (or equivalent) from an accredited program three letters of recommendation, including two from PhD prepared individuals, describing professional nursing competence and potential for success in the combined MSN-PhD in nursing program and for making a significant contribution to nursing science; completion of the Graduate Record Examination, including quantitative, verbal, and writing sections; a clear statement of academic and career objectives and of how the applicant's research interest is consistent with the faculty research expertise; and successful interviews with two members of the MSN and PhD admissions committees. In addition, international applicants would be expected to report acceptable TOEFL or IELTS scores as determined by the School of Graduate Studies.

Dissertation Committee Composition

The composition of the PhD student's dissertation committee will follow the same requirements as set forth in the Graduate Studies student handbook under the heading "Dissertation Advisory Committee" (page 12-13). Therefore, the committee will include "a minimum of four members of the university faculty, including at least one whose primary appointment is outside the student's program, department or school. The chair of the committee must be a Case Western Reserve University tenured or tenure-track faculty member in the student's program. "Other committee members may be on the non-tenure track; however, all members must meet the SGS's requirements for serving on a PhD dissertation committee. All committee members should be prepared at the doctoral level.

Program Governance

The ultimate oversight of the combined MSN- PhD program will be done by the Associate Dean for Doctoral Education in the School of Nursing, who currently has administrative oversight over the BSN to PhD nursing program.

Student Activities

Both the Directors of the MSN and PhD nursing program will ensure that students in the combined degree program are informed by email about activities sponsored by both graduate programs. Students will be encouraged to participate in regular School of Nursing and School of Graduate Studies activities as well as those targeted to them. Activities sponsored by the MSN program include get-togethers and dinners with faculty and student colleagues. Activities in the PhD in nursing program include gold bag luncheons, luncheons each semester with the Director of the PhD in nursing program, and the annual fall faculty and student get-together potluck dinner. Students in the PhD in nursing program also actively participate in activities sponsored by the School of Graduate studies.

Advantages of the Combined Degree Program

There are several advantages to the students in the MSN / PhD in nursing program. The key advantage is the facilitated completion of the MSN degree for BSN to PhD students seeking to obtain an MSN degree in a specialized area along the way. The combined MSN / PhD makes it possible to complete both degrees in a minimum of 5 years (depending on specialty area). The overlap of up to 8 credits shortens the time frame for completing both degrees by one semester. With the average number of MSN credits equal to 40 and the number of credits needed to complete the PhD nursing degree equal to 57, the total number of credits for the combined MSN / PhD nursing program, including the 8 "double counted" credits, is approximately **89** credits.

Funding for Students

Students in the BSN to PhD program are eligible to apply for funding through the Nurse Faculty Loan Program, which is available to all PhD students who agree to take the available courses in curriculum and instruction, testing and evaluation, and a teaching practicum. Students may also participate in funding that may become available through training grants within the school of nursing (i.e. T32 or NRSA).

Tuition Revenue Mechanics

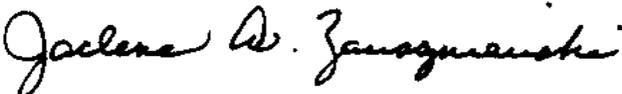
A written agreement about the management of tuition revenues will exist between the School of Nursing and the School of Graduate Studies. The text of this agreement appears below:

Agreement between the School of Nursing and the School of Graduate Studies

Students who are enrolled in the combined MSN / PhD in nursing program will receive the degrees of MSN and PhD in nursing upon completion of the program. The students in this program will register and pay tuition through the School of Nursing at that school's current rate. The tuition revenue for the combined degree students will go to the School of Nursing since the courses that are taken for both the MSN and PhD programs are taught within the School of Nursing.

The amount of tuition to be charged for courses within the respective programs will depend on which program "owns" the course. For example, the charge for those courses that are listed within the MSN curriculum would reflect the per credit hour tuition rate determined by the School of Nursing for the MSN program. Likewise, the charge for those courses that are listed within the PhD curriculum would reflect the per credit hour tuition rate determined by the School of Graduate Studies

Approval Signatures:

Associate Dean for Doctoral Education, School of Nursing <i>Jaclene A. Zauszniewski</i>	
Dean, School of Nursing <i>Mary E. Kerr</i>	
Dean, School of Graduate Studies <i>Charles Rozek</i>	

ME Program Option for Graduates of Case Western Reserve University with BS degrees in Engineering and Computer Science

Background:

The Case School of Engineering (CSE) has recently received approval from the Ohio Board of Regents and the Higher Learning Commission of the North Central Association to offer all Master of Science (MS) degrees and the Master of Engineering (ME) degree via distance delivery mechanisms. Many CSE BS degree recipients choose to enter the job market directly after graduation and are seeking engineering centric careers in industry. In 1995 CSE began offering the Master of Engineering degree for engineers in local industry with the objective of providing them with 18 credit hours of core courses in business and professional development along with 12 credit hours of advanced technical courses. At a recent industry advisory committee meeting for the Department of Biomedical Engineering, it was suggested that we consider offering a ME degree option for CSE BS degree recipients that would allow them to transfer up to 6 credit hours of approved technical electives from their BS program to the ME program. To date between 10 and 15 students have expressed interest in the ME program after graduation, and we expect to enroll between 20 and 25 students per year in the program going forward. CSE currently has the resources to support the program and we will coordinate with the Office of Registrar on the internal transfer of credit as appropriate.

Proposal:

Students that have received a BS degree in engineering or computer science from CSE, and who are accepted for admission into the Master of Engineering (ME) degree program within a period of 24 months after graduation, are entitled to transfer up to 6 credit hours of course work from their BS degree to their ME degree program.

The courses to be considered for transfer should be specified at the time of application to the ME program, and require approval by the director of the Master of Engineering Program and the Dean of Engineering. Once approved, a request for an internal transfer of credit will be sent to the Registrar, and these courses will be included in the student's planned program of study for the ME degree.

Proposal for Engineering Masters Education in Wireless Health in San Diego

Contents:

- Letter from Dean Jeffery Duerk
- Letter from the chairs of biomedical engineering (Robert F. Kirsch) and electrical engineering and computer science (Michael Branicky)
- Pro-forma budget
- Program Description
- Course Descriptions



School of Engineering

Jeffrey L. Duerk, Ph.D.
Dean, Case School of Engineering
Leonard Case Professor
Director, Case Center for Imaging Research

March 23, 2012

Charles Rozek, Ph.D.
Dean, Graduate Studies
Case Western Reserve University
Cleveland, OH 44106

Dear Chuck,

It is my pleasure to provide this note affirming my strongest support for the proposed Master of Science degrees in Wireless Health to be offered by the Departments of Electrical Engineering & Computer Science (EECS) and Biomedical Engineering (BME). As you are well aware, approximately two years ago the faculty leaders in these departments, led by Professor Mehran Mehregany, began the conceptualization, design and implementation of the curriculum. I was Chairman of BME at the time of the initial development and initial deployment and so I am very familiar with the program.

In its current form, the program is offered directly and via distance learning as a certificate program that has demonstrated significant need within the educational marketplace and provided an impactful and meaningful curriculum to the participating students. There are approximately 30 full paying participants and it is anticipated that the demand will continue to be high; operationally it is also going quite well. A separate financial analysis and budget impact statement has been provided for the program.

The BME and EECS departments' committees on graduate education have reviewed the program and its future implementation and both voted affirmatively to support the MS degree option. The votes occurred on March 15 (BME) and March 16 (EECS). The Graduate Education Committee of the School of Engineering has also reviewed this proposal and they too voted affirmatively on March 20. As dean of the School of Engineering, I will assume operational, curricular and financial oversight and responsibility for the program.

I would be grateful if this could be presented to the appropriate committee of the CWRU Faculty Senate for approval as soon as possible so we can successfully transition from the certificate to the degree stage of this important program.

Sincerely,

A handwritten signature in blue ink that reads "Jeffrey L. Duerk".

Jeffrey L. Duerk, Ph.D.
Professor of Biomedical Engineering and Radiology
Dean, School of Engineering
Leonard Case Professor of Engineering
Director, Case Center for Imaging Research
Case Western Reserve University



March 27, 2012

Charles Rozek, Ph.D.
Dean, School of Graduate Studies

Dear Dean Rozek,

We are writing to request permission to offer our Masters Program in Electrical Engineering (EE) and Biomedical Engineering (BME) in San Diego, with courses that provide an innovative curriculum in the area of wireless health. Details of the proposed program are provided in the two attachments.

Many companies (over 300) are involved in the rapidly growing wireless health industry. Few of the engineers and others employed in this industry have graduate training in areas that are important to the success of their companies. CSE is in a unique position to provide graduate level training because of our expertise in instrumentation and biomedical engineering, and this program will offer integrated training that many of the employees desire. The proposed masters education program will build on our recent success in offering a program awarding a Certificate in Wireless Health.

We expect approximately 25 students to complete the certificate this May, and many of these same students can be expected to continue to take additional courses in the area of wireless health to earn a masters in BME or EE, beginning as early as this fall. We will continue to offer the Certificate program and will have a mix of certificate and masters students on a regular basis.

We have been fortunate to have a close working relationship with Qualcomm (San Diego), a leading wireless health company, as we roll out our program. CSE is working closely with Qualcomm to develop mutually beneficial research and education interactions. Qualcomm has made available an auditorium on their campus to hold the courses, including access for students who are not Qualcomm employees. In addition, Qualcomm awarded an \$80,000 grant to help start up the Certificate program, and has provided exhibit space at major conferences to help promote the educational offerings.

Prof. Mehran Mehregany, with appointments in both EECS and BME, and who is based in San Diego, is leading the startup of this program, and will continue to be its leader. In addition, Prof. Pedram Mohseni in EECS will be the campus based anchor faculty member who will participate in the program and will work with Prof. Mehregany to build a research program paralleling the educational program. We expect additional faculty to undertake research in this field, as its importance expands. For example, wireless health is featured prominently in the recent strategic plan of the National Institute of Biomedical Imaging and Bioengineering of the NIH.

Faculty teaching in this program will have CWRU faculty appointments, typically in the EECS or BME departments of the Case School of Engineering, and all appointments will follow the normal processes and standards of review. We anticipate appointing some adjunct faculty who are based in San Diego, and who are currently employed in the wireless health care industry. Departments handle registration by normal processes, and applications go through Graduate Studies.

Students are supported by normal mechanisms of office hours and educational clinics that have been offered on-site by Dr. Mehregany. As Program Director, he has overall responsibility for the academic support of the students in the program, assisted by the sponsoring departments. He will serve as advisor for the students physically based in San Diego. Students enrolled in the program on the main campus will be assigned a program faculty advisor on campus. Otherwise distance students will also be advised by the Program Director, assisted by other program faculty as the class size grows. The Program Director will also be the student resource for addressing academic issues brought up by students. He will be assisted by the program faculty as necessitated by increasing class size or the nature of the issue to be addressed.

A distinctive, and highly valuable characteristic of our program is its curriculum, with several integrated courses designed specifically to address the needs of engineers working in this nascent interdisciplinary area. Other programs, including one at USC offer less distinctive programs that mostly assemble existing but disconnected courses related to wireless health. Prof. Mehregany is in the process of editing a textbook that will serve the needs of the foundation course "Introduction to Wireless Health". This will be the first textbook with this focus.

Development of a financial model for the program has been aided by the launch of the certificate program this last year. The pro-forma model, included as an attachment, shows a profit even in the first year, and a growing income in succeeding years.

We hope that we have adequately explained our proposal to you. We are committed to establishing this program and would be happy to address any concerns quickly.

Sincerely,



Robert F. Kirsch, Ph.D
Prof. BME
Interim Chairman, BME



Michael Branicky, Sc.D.
Prof. EECS
Chairman, EECS

Pro Forma Budget – Wireless Health Graduate Education Program

<u>Student Counts</u>	<u>FY13</u>	<u>FY14</u>	<u>FY15</u>
MS-FT	15	18	20
MS-PT	5	8	10
Cert	5	8	10

Inputs

Total students in program	25	34	40
Credit hours per Cert. (fall&spring)	9	9	9
perMS-PT	9	9	9
perMS-FT	27	27	27
Total credits in program	495	630	720
Tuition Rate	1546	1608	1672
Certificate Credits	45	72	90
MS PT Credits	45	72	90
MS FT Credits	405	486	540
Certificate Tuition Revenue	69,570	115,764	150,494
MS-PT Tuition Revenue	69,570	115,764	150,494
MS FT Tuition Revenue	626,130	781,410	902,963

Income

Tuition Income from Students less fee est.	749,965	992,680	1,179,872
Summer tuition	0	0	0

Expense

Course Instructors	120,000	123,600	135,960
Faculty Summer Salary	22,044	22,705	23,386
Staff Support	30,000	60,000	61,800
Faculty Fringe	15,613	24,812	7,250
Video Recording	15,000	15,450	16,995
Books for Instructors	3,000	3,090	3,183
Misc copying/office supplies/etc.	3,000	3,090	3,183
Telephone charges	2,280	2,348	2,419
Office supply needs	600	800	1,000
Marketing(producton/advertise/shows/etc	20,000	20,600	21,218
Travel	36,000	37,080	38,192
Consulting Recruiter fees	30,000	30,900	31,827
Advertisement	24,000	24,720	25,462
Business development meetings	12,000	12,360	12,731
Equipment	25,000	15,000	15,450
Subtotal	358,537	396,555	400,055
Net Return	391,427	596,125	779,816



Graduate Study in Wireless Health

Master of Science

Fall 2012

Distance offering? Yes, online!
Distance enrollment? Nationwide!

The Promise of Wireless Health

Lowering the Cost of Health Care

clinic/hospital anywhere
appointment anytime
population individual
reactive preventative

WIRELESS MARKET
\$1.8T

HEALTHCARE MARKET
\$4.5T

THE WIRELESS HEALTH MARKET IS PROJECTED TO MORE THAN TRIPLE FROM \$2.7B IN 2007 TO \$9.6B IN 2012

HEALTHCARE IS A CRITICAL GLOBAL ISSUE

Program Description

Ubiquitous connectivity and computing are bringing about unprecedented mobility—allowing working, entertainment, shopping, socializing, gaming, etc., anytime, anywhere. This trend is also infiltrating health care, promising significant improvements in quality, convenience, reach and cost of care through “wireless health” solutions. Wireless health solutions enable diagnosis, therapy and monitoring of health-related conditions by tracking relevant biomarkers, managing treatment regimen and monitoring progress—while the patient goes about his/her daily life, for the most part.

This course-only (i.e., no thesis required) Master of Science (MS) degree in electrical or biomedical engineering offers a rich set of courses, which together provide a solid grounding in fundamentals and a custom tailoring of breadth/depth of study in wireless health. Students who complete this 9-course, 27-credit program will have the requisite knowledge to enter and advance the wireless health industry.

Educational Objectives

The MS degree provides a comprehensive program that combines theory and practice to cover the entire wireless health value chain, positioning students with exceptional multidisciplinary training for entering and advancing the emerging field of wireless health. A strong basis in fundamentals, across the spectrum of requisite disciplines, is built through 6 topic-specific required courses. Each student further personalizes depth and breadth of study through selection of at least 3 courses from the menu of electives. The required courses and starting menu of electives are outlined in the following table. Each student (team) develops a product plan in E6, which may become the basis of a business plan in E9.

Course Type	#	Course Title (<i>prerequisite</i>) each course is 3 credit hours; MS requires ≥ 27 credits	Format Option	Semester Offered
Required	R1	Introduction to Wireless Health	LEC/ITN	Fall & Spring ¹
	R2	The Human Body	LEC/ITN	Fall & Spring ¹
	R3	Health Care Delivery Ecosystem	LEC/ITN	Fall & Spring ¹
	R4	Wireless Communications and Networking	LEC/ITN	Spring & Fall ¹
	R5	Biomedical Sensing Instrumentation (R1, R2)	LEC/ITN	Spring & Fall ¹
	R6	Life in a Hospital, Clinic or Care Center (R1, R2, R3)	Rotation	Summer
Elective	E1	Principles of Health Care Management (R3)	ITN	Fall & Spring
	E2	Introduction to Medical Informatics	ITN	Fall & Spring
	E3	Clinical Decision Support Systems	ITN	Fall & Spring
	E4	Advance Biomedical Instrumentation (R5)	LEC/ITN	Fall & Spring ¹
	E5	Mobile Persuasion & User Experience Engineering	LEC/ITN	Fall & Spring ¹
	E6	New Health Product Development	LEC/ITN	Fall & Spring ¹
	E7	RF Engineering for Medical Devices (R4)	LEC/ITN	Spring & Fall ¹
	E8	FDA Medical Device Regulations	LEC/ITN	Spring & Fall ¹
	E9	New Health Technology Ventures (E6)	LEC/ITN	Spring & Fall ¹

LEC: Onsite in San Diego ITN: Distance Learning - Online format ¹Only ITN in the flagged semester

Obesity
400M

Chronic Disease
860M

Aging
600M

Compliance
\$300B



Who Should Attend?

Students with engineering or physical science backgrounds are positioned well to complete the MS program. Students with clinical, health sciences or management backgrounds can also succeed if they have or are willing to gain the necessary background underpinning the engineering-centric courses.

Admission Requirements

Students will be admitted through the School of Graduate Studies as degree-seeking graduate students in the Case School of Engineering (CSE). Admission will be based on general CSE admission standards for graduate programs, including a minimum GPA of 3.2 in a relevant Bachelor of Science program. GRE is not required. TOEFL is waived for students that have completed a degree program where the language of instruction is English. Otherwise, TOEFL scores must be greater than 100 for the internet-based test (or 550 for the paper-based test).

Award of the Master of Science (in Electrical or Biomedical Engineering)

Each MS student must complete his/her Program of Study with a cumulative grade point average of 3.0 or greater. A Program of Study must include the 6 required courses and at least 3 elective courses, for a minimum of 27 total credit hours. The courses outlined in the above table constitute a pre-approved Program of Study. Students wishing to substitute other courses, either because they have completed a substantially equivalent graduate level course at another institution of higher education or to obtain a different emphasis, may submit a Revised Program of Study for approval by their academic advisor, the department and the Office of Graduate Studies before their second semester. Students can apply for transfer of credit of up to two equivalent graduate courses (6 credit hours) completed (with a grade of B or better) at another institution of higher learning and not applied toward another degree.

Timeline for Completion

The MS program may be completed in one calendar year (i.e., consecutive fall, spring and summer semesters) on a full-time basis or in up to three calendar years on a part-time basis. Some of the courses outlined in the above table have one or more prerequisites, which must be considered in constructing one's desired timeline.

Online Option, Distance Learning and Program Faculty

Yes! All lectures and course material are readily available to the students online. The MS degree offering is **available to students nationwide** through online resources. The faculty who are teaching in this program have appointments typically in the Electrical Engineering & Computer Science or Biomedical Engineering Departments of the Case School of Engineering. Their appointments follow the normal processes and standards of internal review.

Obesity
400M

Chronic Disease
860M

Aging
600M

Compliance
\$300B



Class Times and Location

This MS program is an offering of the Case Western Reserve University's San Diego Programs, which follow the same academic calendar as the main campus. Classes are in San Diego, California in the technology-centric Sorrento Mesa area. Each course has one lecture per week, typically from 6:00 PM to 8:30 PM PDT on Mondays, Tuesdays, Wednesdays or Thursdays. In reference to the above table of courses, for Fall 2012, R1 is planned for Tuesdays, R2 for Wednesdays and R3 for Thursdays. E5 and E6 are planned for Mondays. Online version of a course is the same as that onsite, in the semester that the onsite version is offered. Otherwise, the online version is the most recent onsite version.

Tuition and Financial Aid

The 2011-2012 tuition at Case Western Reserve University is \$1,487/credit hour. Case Western Reserve University does not provide internal financial aid for this program. **You should inquire if your employer offers a tuition benefit program.** You may also contact the Office of Financial Aid at 216-368-4530 or financialaid@case.edu to research external aid programs that may be available to you, for example through Federal initiatives.

Application Deadline and Process

Applications for the Fall 2012 MS program offering will be accepted until all spots are filled or August 7, 2012, whichever comes first. We encourage early application since capacity is limited and spots will be awarded as applications are received and evaluated.

To apply, go to http://engineering.case.edu/wireless_health, download the MS application, and complete and submit it. Applications should be submitted through the address listed on the application form.

Your application package must include three letters of recommendation from references who can speak to your abilities and accomplishments that position you to successfully complete the MS program. The recommenders should not share the content of the letters of recommendation with you or other third parties. Each letter should be placed in a sealed envelope, with the recommender's signature across the seal, and be submitted as part of the application package.

You will receive an e-mail acknowledgement after we have your complete application package. We will inform you of our decision within six weeks of having received your complete application package, unless we seek additional information.

Want more Information?

Visit http://engineering.case.edu/wireless_health
Questions can be sent to: wirelesshealth@case.edu

Obesity
400M

Chronic Disease
860M

Aging
600M

Compliance
\$300B



Graduate Study in Wireless Health

Course Type	#	Course Title (<i>prerequisite</i>) each course is 3 credit hours; MS requires ≥ 27 credits	Format Option	Semester Offered
Required	R1	Introduction to Wireless Health	LEC/ITN	Fall & Spring ¹
	R2	The Human Body	LEC/ITN	Fall & Spring ¹
	R3	Health Care Delivery Ecosystem	LEC/ITN	Fall & Spring ¹
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	R5	Biomedical Sensing Instrumentation (R1, R2)	LEC/ITN	Spring & Fall ¹
	R6	Life in a Hospital, Clinic or Care Center (R1, R2, R3)	Rotation	Summer
Elective	E1	Principles of Health Care Management (R3)	ITN	Fall & Spring
	E2	Introduction to Medical Informatics	ITN	Fall & Spring
	E3	Clinical Decision Support Systems	ITN	Fall & Spring
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	E7	RF Engineering for Medical Devices (R4)	LEC/ITN	Spring & Fall ¹
	E8	FDA Medical Device Regulations	LEC/ITN	Spring & Fall ¹
	E9	New Health Technology Ventures (E6)	LEC/ITN	Spring & Fall ¹

LEC: Onsite in San Diego ITN: Distance Learning - Online format ¹Only ITN in the flagged semester

Bulletin Descriptions of the Courses

R1 – Introduction to Wireless Health: Study of convergence of wireless communications, microsystems, information technology, persuasive psychology, and health care. Discussion of health care delivery system, medical decision-making, persuasive psychology, and wireless health value chain and business models. Understanding of health information technology, processing of monitoring data, wireless communication, biomedical sensing techniques, and health monitoring technical approaches and solutions.

R2 – The Human Body: Study of Structural organization of the body. Introduction to anatomy, physiology, and pathology, covering the various systems of the body. Comparison of elegant and efficient operation of the body and the related consequences of when things go wrong, presented in the context of each system of the body. Introduction to medical diagnosis and terminology in the course of covering the foregoing.

R3 – The Health Care Delivery Ecosystem: Health care delivery across the continuum of care in the United States, including health policy and reform, financing of care, comparative health systems, population health, public health, access to care, care models, cost and value,



comparative effectiveness, governance, management, accountability, workforce, and the future. Discussions of opportunities and challenges for wireless health, integrated into the foregoing topics. Perspective on health care delivery in other countries.

R4 – Wireless Communications and Networking: Essentials of wireless communications and networking, including teletraffic engineering, radio propagation, digital and cellular communications, wireless wide-area network architecture, speech and channel coding, modulation schemes, antennas, security, networking and transport layers, and 4G systems. Hands-on learning of the anatomy of a cell phone, and a paired wireless health device and its gateway.

R5 – Biomedical Sensing Instrumentation: Study of principles, applications, and design of biomedical instruments with special emphasis on transducers. Understanding of basic sensors, amplifiers, and signal processing. Discussion of the origin of biopotential, and biopotential electrodes and amplifiers (including biotelemetry). Understanding of chemical sensors and clinical laboratory instrumentation, including microfluidics.

R6 – Life in a Hospital, Clinic and Care Center: Rotation through one or more health care provider facilities for a first-hand understanding of care delivery practice, coordination, and management issues. First-hand exposure to routine medical devices and instruments, and their related use. Familiarity with provider protocols, physician referral practices, electronic records and clinical decision support systems.

E1 – Principles of Health Care Management: Accounting, marketing, finance, law and management for the health care industry. Government policy and its impact on health care management. Knowledge and skills in research, critical thinking, problem solving and current technology for application and use in a health care setting. Teamwork, leadership skills and professional ethics through classroom activities.

E2 – Introduction to Medical Informatics: Current and emerging trends in health information systems. Database management, system interoperability, patient privacy, network security, electronic medical records, telehealth, regulatory issues, clinical decision support, mobile documentation devices and wireless communications in healthcare. Impact of wireless health technology and integration to existing health data management systems.

E3 – Clinical Decision Support Systems: Design principles behind Clinical Decision Support Systems (CDSS), foundations of knowledge-based systems, pattern recognition systems, inference engines, machine learning, clinical vocabularies, legal and ethical issues. FDA requirements for approving patient-centered clinical decision support systems and CDSS applications in mobile health technology.

*Student develops a new product/service plan in E6, followed by a related business plan in E9.



E4 – Advance Biomedical Instrumentation: Analysis and design of biosensors in the context of biomedical measurements. Base sensors using electrochemical, optical, piezoelectric, and other principles. Binding equilibria, enzyme kinetics, and mass transport modalities. Adding the “bio” element to base sensors and mathematical aspects of data evaluation. Applications to clinical problems and biomedical research.

E5 – Mobile Persuasion and User Experience Engineering: Social, cognitive, behavioral, and contextual elements of healthcare technology and systems. User-centered design paradigm from a broad perspective, emphasizing how to employ user research techniques to discover needs and create product requirements. Practical utilization of user centered design method and assessment techniques for approaching a design problem.

E6 – New Health Product Development: Product development issues faced in medical devices in general and in wireless health in particular. Discussion of the various stages from idea generation through prototype and product development, to validation and clinical/market testing. Techniques and processes for managing different stages of product development process and associated tools. Critical evaluation and analysis of new products and product strategies in wireless health. (*)

E7 – RF Engineering for Medical Devices: RF/Wireless connectivity domains for medical applications: NFC (Proximity-IEC 14443, RFID), BAN and PAN (6LowPAN, ANT, BT, ZigBee), LAN (802.11a/b/g/n-MIMO) and WAN. RF Propagation: Body Channel Communications, baseband and modulation (OFDM, CDMA, TDMA). RF Design for medical applications: circuit and RFIC, power management, thermal management, packaging. Antenna Engineering: radiation, materials, Implanted Antennas for Biomedical Applications. RF in medical imaging.

E8 – FDA Medical Device Regulations: Understanding the federal system, including separation of powers, the executive branch and its departments, the congress, the Federal Communication Commission, policy versus regulation versus legislative. Learning what is a medical device, including introduction to the Food and Drug Administration, the classification system, radiation emitting products, software, radio-frequency wireless technology in medical devices, converged medical devices, international aspects. Understanding regulation of health information technology and wireless health, including regulatory acts, reimbursement, privacy, security.

E9 – New Health Technology Ventures: Processes and techniques for generating and assessing ideas for viable business models in wireless health. Techniques and skills to distinguish between interesting and viable ideas. Possible business models and related challenges for converting a concept into a business. Intellectual property and capturing value through licensing. Case studies illustrating the gap between success and failure in creating and managing a new venture in wireless health. (*)

*Student develops a new product/service plan in E6, followed by a related business plan in E9.

INTRODUCTION TO WIRELESS HEALTH
FALL 2012
EBME/EECS 480A

COURSE DESCRIPTION: Study of convergence of wireless communications, microsystems, information technology, persuasive psychology, and health care. Discussion of health care delivery system, medical decision-making, persuasive psychology, and wireless health value chain and business models. Understanding of health information technology, processing of monitoring data, wireless communication, biomedical sensing techniques, and health monitoring technical approaches and solutions. (3 credit hours)

FACULTY: The faculty teaching in this program have appointments in a department of the university. Their appointments follow the normal processes and standards of internal review.

TEXTBOOKS: *Wireless Health* by Mehregany, ed. (planned for Fall 2012)

ADDITIONAL MATERIAL:

The Creative Destruction of Medicine by Topol (Basic Books).

Mobile Persuasion: 20 Perspectives of the Future of Behavior Change, Fogg and Eckles, eds. (Stanford University)

COURSE OBJECTIVES: This course is designed to provide the students with the fundamental and practical knowledge necessary for an overall grasp of the field of wireless health.

CLASS TIME / LOCATION: Once a week (not Fridays), 6:00 to 8:30 PM, San Diego.

OFFICE HOUR / LOCATION: 4:00 to 6:00 PM, same day and location as lecture.

COURSE GRADE:

Homework (66%): 6 assignments, biweekly

Project (34%): Identify and understand a health or wellness need of a medically underserved group and develop a wireless health solution in response.

LECTURE SCHEDULE:

- WK 1 Creative destruction of medicine
- WK 2 Wireless health applications and devices
- WK 3 Persuasion psychology
- WK 4 User interface engineering
- WK 5 Health care delivery and medical decision making
- WK 6 Health information technology and clinical decision support systems
- WK 7 Security and interoperability
- WK 8 FDA medical device regulation
- WK 9 Value chain and business models
- WK 10 Wireless communications and networking
- WK 11 Wireless sensor networks
- WK 12 Biomedical microsystems
- WK 13 Near-body health monitoring
- WK 14 On-body health monitoring
- WK 15 In-body health monitoring

University Student Ethics Policy

<http://studentaffairs.case.edu/ai/policy.html>

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All forms of academic dishonesty including cheating, plagiarism, misrepresentation, and obstruction are violations of academic integrity standards. Cheating includes copying from another's work, falsifying problem solutions or laboratory reports, or using unauthorized sources, notes or computer programs. Plagiarism includes the presentation, without proper attribution, of another's words or ideas from printed or electronic sources. It is also plagiarism to submit, without the instructor's consent, an assignment in one class previously submitted in another. Misrepresentation includes forgery of official academic documents, the presentation of altered or falsified documents or testimony to a university office or official, taking an exam for another student, or lying about personal circumstances to postpone tests or assignments. Obstruction occurs when a student engages in unreasonable conduct that interferes with another's ability to conduct scholarly activity. Destroying a student's computer file, stealing a student's notebook, and stealing a book on reserve in the library are examples of obstruction.

THE HUMAN BODY
FALL 2012
EBME/EECS 480B

COURSE DESCRIPTION: Study of Structural organization of the body. Introduction to anatomy, physiology, and pathology, covering the various systems of the body. Comparison of elegant and efficient operation of the body and the related consequences of when things go wrong, presented in the context of each system of the body. Introduction to medical diagnosis and terminology in the course of covering the foregoing. (3 credit hours)

FACULTY: The faculty teaching in this program have appointments in a department of the university. Their appointments follow the normal processes and standards of internal review.

TEXTBOOK: *The Human Body in Health and Disease* by Thibodeau and Patton (Elsevier, 5th ed.)

Additional Material: *An Introduction to Medical Terminology for Healthcare: A Self-Teaching Package* by Hutton (Churchill Livingstone, 4th ed.)

COURSE OBJECTIVES: This course is designed to provide the students with a basic understanding of anatomy, physiology, and pathology, as well as an introduction to medical terminology.

CLASS TIME / LOCATION: Once a week (not Fridays), 6:00 to 8:30 PM, San Diego.

OFFICE HOUR / LOCATION: 4:00 to 6:00 PM, same day and location as lecture.

COURSE GRADE:

Quizzes (77%): 7 quizzes, biweekly

Project (23%): Virtual dissection of the body

LECTURE SCHEDULE:

WK 1	Ch 1/2:	Structure and function of the body/Chemistry of life
WK 2	Ch 3:	Cells and tissues
WK 3	Ch 4:	Organ systems of the body
WK 4	Ch 5:	Mechanisms of disease
WK 5	Ch 6/7:	Integumentary system and body Membranes/Skeletal system
WK 6	Ch 8/9:	Muscular system/Nervous system
WK 7	Ch 10/11:	Senses/Endocrine system
WK 8	Ch 12:	Blood
WK 9	Ch 13/14:	Heart and heart disease/Circulation of blood
WK 10	Ch 15:	Lymphatic system and immunity
WK 11	Ch 16/17:	Respiratory system/Digestive system
WK 12	Ch 18/19:	Nutrition and metabolism/Urinary system
WK 13	Ch 20/21:	Fluid and electrolyte balance/Acid-base balance
WK 14	Ch 22/23:	Reproductive systems/Growth and development
WK 15	Ch 24:	Genetics and genetic diseases

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**BIOMEDICAL SENSING INSTRUMENTATION
SPRING 2013
EBME/EECS 480C**

COURSE DESCRIPTION: Study of principles, applications, and design of biomedical instruments with special emphasis on transducers and in the context of wireless health applications. Understanding of basic sensors, amplifiers, and signal processing. Discussion of the origin of biopotential, and biopotential electrodes and amplifiers (including biotelemetry). Understanding of chemical sensors and clinical laboratory instrumentation, including microfluidics. (3 credit hours)

FACULTY: The faculty teaching in this program have appointments in a department of the university. Their appointments follow the normal processes and standards of internal review.

TEXTBOOK: *Medical Instrumentation (Application and Design)* by Webster (Wiley, 4th ed.)

ADDITIONAL MATERIAL: *Reference Articles and Recitations* to teach underlying concepts in order to accommodate the diversity of student backgrounds.

PREREQUISITES: EECS/EBME 480A and 480B.

COURSE OBJECTIVES: This course is designed to provide the students with a basic understanding of biomedical instrumentation with emphasis on transducers and in the context of wireless health applications.

CLASS TIME / LOCATION: Once a week (not Fridays), 6:00 to 8:30 PM, San Diego.

OFFICE HOUR / LOCATION: 4:00 to 6:00 PM, same day and location as lecture.

COURSE GRADE:

Homework (66%): 6 assignments, ~biweekly

Project (34%): Design, build and demonstrate a wireless health device/instrument that communicates with a smart phone for a specific health/wellness application. \$200 bill of materials budget (excluding the smart phone).

LECTURE SCHEDULE:

WK 1	Ch 1:	Basic concepts of medical instrumentation
WK 2	Ch 14:	Electrical Safety (60 min) Workshop: Fundamentals of Design
WK 3	Ch 2:	Basic sensors and principles
WK 4	Ch 2:	Basic sensors and principles
WK 5	Ch 3:	Amplifiers and signal processing
WK 6	Ch 3:	Amplifiers and signal processing
WK 7	Ch 4:	The origin of biopotentials
WK 8	Ch 4:	The origin of biopotentials
WK 9	Ch 5:	Biopotential electrodes
WK 10	Ch 5:	Biopotential electrodes
WK 11	Ch 6:	Biopotential amplifiers
WK 12	Ch 6:	Biopotential amplifiers
WK 12	Ch 10:	Chemical biosensors (<i>extra lecture</i>)
WK 13	Ch 10:	Chemical biosensors
WK 14	Ch 11:	Clinical laboratory instrumentation
WK 15	Ch 11:	Clinical laboratory instrumentation

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THE HEALTH CARE DELIVERY ECOSYSTEM
FALL 2012
EBME/EECS 480D

COURSE DESCRIPTION: Health care delivery across the continuum of care in the United States, including health policy and reform, financing of care, comparative health systems, population health, public health, access to care, care models, cost and value, comparative effectiveness, governance, management, accountability, workforce, and the future. Discussions of opportunities and challenges for wireless health, integrated into the foregoing topics. Perspective on health care delivery in other countries. (3 credit hours)

FACULTY: The faculty teaching in this program have appointments in a department of the university. Their appointments follow the normal processes and standards of internal review.

TEXTBOOK: *Health Care Delivery in the United States* by Jonas and Kovner (Springer Publishing Company, 10th ed.)

ADDITIONAL MATERIAL: *Reference Articles* providing a perspective on health care delivery in other countries.

PREREQUISITES: None.

COURSE OBJECTIVES: This course is designed to provide the students with a basic understanding of health care delivery in the United States and the related opportunities and challenges for wireless health.

CLASS TIME / LOCATION: Once a week (not Fridays), 6:00 to 8:30 PM, San Diego.

OFFICE HOUR / LOCATION: 4:00 to 6:00 PM, same day and location as lecture.

COURSE GRADE:

Quizzes (77%): 7 quizzes, biweekly

Project (23%): Bridge the gap between an available wireless health solution and the respective current delivery of care it is intended to displace/improve.

LECTURE SCHEDULE:

WK 1	Ch 1:	The current U.S. health care system
WK 2	Ch 2:	Health policy and health reform
WK 3	Ch 3:	Health care financing
WK 4	Ch 4:	Comparative health systems
WK 5	Ch 5:	Population health
WK 6	Ch 6:	Public health: policy, practice, and perceptions
WK 7	Ch 7:	Health and behavior
WK 8	Ch 8:	Access to care
WK 9	Ch 9:	Organization of medical care
WK 10	Ch 10:	Integrative models and performance
WK 11	Ch 11:	High quality health care
WK 12	Ch 12:	Health care costs and value
WK 13	Ch 13:	Comparative effectiveness
WK 14	Ch 14:	Governance, management, and accountability
	Ch 15:	Health workforce
WK 15	Ch 17:	The future of health care delivery in the U.S.

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**WIRELESS COMMUNICATIONS AND
NETWORKING
SPRING 2013
EBME/EECS 480E**

COURSE DESCRIPTION: Essentials of wireless communications and networking, including teletraffic engineering, radio propagation, digital and cellular communications, wireless wide-area network architecture, speech and channel coding, modulation schemes, antennas, security, networking and transport layers, and 4G systems. Hands-on learning of the anatomy of a cell phone, and a paired wireless health device and its gateway. (3 credit hours)

FACULTY: The faculty teaching in this program have appointments in a department of the university. Their appointments follow the normal processes and standards of internal review.

TEXTBOOK: *Wireless Communications and Networking* by Vijay Garg (Morgan Kaufmann)

ADDITIONAL MATERIAL: *Reference Articles and Recitations* to teach underlying concepts in order to accommodate the diversity of student backgrounds.

PREREQUISITES: None.

COURSE OBJECTIVES: This course is designed to provide the students with a basic understanding of wireless communications and networking.

CLASS TIME / LOCATION: Once a week (not Fridays), 6:00 to 8:30 PM, San Diego.

OFFICE HOUR / LOCATION: 4:00 to 6:00 PM, same day and location as lecture.

COURSE GRADE:

Homework (77%): 7 assignments, biweekly

Projects (23%): Dissect (i) a cell phone, and (ii) a paired wireless health device and its gateway.

LECTURE SCHEDULE:

WK 1	Ch 1:	An overview of wireless systems
WK 2	Ch 2:	Teletraffic engineering
WK 3	Ch 3:	Radio propagation and propagation path-loss models
WK 4	Ch 4:	An overview of digital communication and transmission
WK 5	Ch 5:	Fundamentals of cellular communications
WK 6	Ch 6:	Multiple access techniques
WK 7	Ch 7:	Architecture of a wireless wide-area network
WK 8	Ch 8:	Speech coding and channel coding
WK 9	Ch 9:	Modulation schemes
WK 10	Ch 10:	Antennas, diversity, and link analysis
WK 11	Ch 11:	Spread spectrum and CDMA systems
WK 12	Ch 12:	Mobility management in wireless networks
WK 13	Ch 13:	Security in wireless systems
WK 14	Ch 14:	Mobile networking and transport layer
WK 15	Ch 23:	Fourth generation systems and new wireless technologies

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LIFE IN A HOSPITAL, CLINIC OR CARE
CENTER
SUMMER 2012, FALL 2012, SPRING 2013
EBME/EECS 480F

COURSE DESCRIPTION: Rotation through one or more health care provider facilities for a first-hand understanding of care delivery practice, coordination, and management issues. First-hand exposure to routine medical devices and instruments, and their related use. Familiarity with provider protocols, physician referral practices, electronic records, clinical decision support systems, acute and chronic care, and inpatient and ambulatory care. (3 credit hours)

FACULTY: The faculty overseeing this program have appointments in a department of the university. Their appointments follow the normal processes and standards of internal review.

TEXTBOOK: None.

ADDITIONAL MATERIAL: None.

PREREQUISITES: EECS/EBME 480A, 480B, 480D.

COURSE OBJECTIVES: This course is designed to provide the students with a first-hand understanding of health care delivery in a clinical setting.

TOTAL TIME IN CARE SETTING: 48 hours.

COMPLETION TIME: 6 to 12 weeks, flexible.

LOCATION: A hospital, clinic or care center approved by the faculty. Student may suggest site(s).

COURSE GRADE: *Diary (100%)*, detailing the experience and learning.

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Case School of Engineering
Report to the Faculty Senate Executive Committee
April 11, 2012

Concerns of the school were discussed at several CSE executive committee meetings and at a general CSE faculty meeting on April 5. This report was finalized in a CSE executive committee meeting on Friday April 6, 2012.

- ❖ On-campus childcare is regarded as a high priority for many of the faculty of the school.
- ❖ There were several concerns regarding undergraduate recruitment. Many, but not all of these focused on logistics.
 - Logistics
Concern - Better coordination between admissions and the school is needed, especially with respect to student visits and the involvement of faculty and staff of the CSE.
 - Visits are often unplanned and leave little time to match prospective students with department representatives.
 - Planned events may be sparsely attended by students and parents but still require faculty time. Although faculty are more than willing to participate it is not the best use of faculty time.
 - Communications
Concern - Communication between programs and admissions needs to be improved.
 - Sharing experiences on what is and is not effective in the recruiting process, especially as it relates to interaction between prospective students and department representatives, could improve the experience for all involved.
 - Recruiting Policy
 - Involve the school in setting recruitment targets.
- ❖ Academic Support
 - Lack of up to date account info and timely contract billing
 - Slow purchasing
 - Too many rules on travel
 - Slow contract negotiation

TO: Faculty Senate Executive Committee
FROM: Gary Chottiner
DATE: DRAFT - February 29, 2012

We're nearing the end of our first year with a new structure for the senate executive committee (excomm). Several concerns have been raised about this new structure and about other elements of faculty senate processes. This document is meant to lay out the issues that have been brought to my attention over the course of this academic year, as well as some actions that could be taken to address various concerns. My intention is to start a discussion in our March excomm meeting, realizing that some actions might require input from our committees, the senate, and school/college leadership. Please do not assume that I am personally in favor of every suggestion you will see in this document; rather, I am trying to include every reasonable idea that has been brought to my attention.

[The senate executive committee consists primarily of a single representative from each school/college, elected by the entire senate from those senators willing to accept this responsibility on behalf of their constituents. These excomm members become ex officio members of their school/college excomm's (*or the equivalent faculty governance group*). The membership and charge to the excomm are posted at <http://case.edu/president/facsen/committees/exec/execcom.html> .]

1. Replacements

If a school/college representative is unable to attend part or all of an excomm meeting, an entire school/college will be left without a voice when important issues are being discussed and decided. We operate according to Roberts Rules of Order, RRO, and these rules do not allow for representatives to identify replacements on their own authority, unless the senate by-laws specifically allow for this. It is, however, allowed for a committee to invite guests to a meeting. These guests may participate in discussions but do not have the right to cast a vote. Prior to our February meeting, Jessica Berg contacted me and asked if Dale Nance could attend in her place to represent the School of Law. I endorsed inviting him as a guest and he contributed important details to one of our discussions.

Idea the excomm might consider:

- a. Should we allow and perhaps even encourage replacements when a school/college representative must miss an *entire* meeting? The chair effectively has this authority and this chair thinks we should encourage replacements, but prefers this be a decision of the committee as a whole.
- b. Should we allow replacements when a school/college representative must miss a *significant fraction* of a meeting?
- c. Should we allow replacements for *other members* of the excomm besides school/college representatives? (*chair, chair-elect, past-chair, provost, secretary of the university faculty*). The answer is most likely *no*, except for the secretary of the university faculty (*Liz*), who takes minutes and sometimes brings materials to our meetings. Her replacement will generally be Hollie. The constitution already provides that the president may designate a replacement.

- d. Do we want to change the senate by-laws or handbook to allow for replacements or handle this less formally? The latter is clearly easier and allows for changes in policies as each new excomm and chair see fit. There are, however, limits to what we can do informally; for example, replacements cannot cast the vote associated with committee members. One would hope, however, that if the replacement expresses serious reservations on behalf of his or her constituent faculty about some issue, that the excomm would take this into account appropriately.
- e. Are there any negative aspects to allowing replacements; for example, do we think participation will suffer?
- f. Should we establish ground rules for replacements? For example, should a replacement be a fellow senator or a member of the school/college excomm, if possible or perhaps by rule?
- g. Should we try to establish 'standing' replacements, identified at the beginning of the academic year? If we do, should they have access to the materials the excomm receives each month, or only when they will attend a meeting. Should the excomm members supply these materials to their replacement or should Liz arrange this?
- h. Does an option of electronic participation by computer or phone make sense for excomm meetings?

2. Identifying and replacing excomm members

The process for identifying excomm members currently is to invite senators from each school and the college to discuss among themselves who is interested in standing for election (*by the senate as a whole*) to the senate excomm to represent their school/college. There is no limit on the number who can stand for election to represent each school/college, but it's generally a challenge to identify even one volunteer for some schools, particularly those which have relatively few senators.

- a. Should school excomm's be more carefully consulted and asked to help identify senators who stand for election to the senate excomm? We could accomplish this relatively simply, with assistance from Liz and Hollie and instructions to the senate nominating committee.
- b. Should we establish an attendance policy that mirrors that of the senate as a whole; if a member of the excomm misses two or more meetings in the fall, that member will be asked if he or she would like to resign. Note that it's up to the school's/college's senators to identify candidates for these positions and a vote of the senate is required to appoint a replacement, unless we change our by-laws. So identifying permanent replacements under the current system could be a challenge and take a month or two. Should we change our by-laws to create a simplified process for replacements, perhaps allowing the school/college excomm to nominate a senator for this purpose?
- c. Rather than elect each excomm member with a vote of the entire senate, should senators from each constituent faculty vote independently to elect a member to the excomm?

3. Composition of the excomm

- a. Two types of concerns have been raised about the current composition of the senate excomm, with one member representing each constituent faculty. Faculty from some of the smaller schools, which typically also have less business before the senate at any given time, sometimes object to the workload that comes with excomm plus senate membership. Meanwhile, some faculty members from the larger schools and the college take exception to the limited voice in university affairs for larger constituent faculties.

In response to this latter concern, it's worth noting that the excomm is seldom the final arbiter on issues in which there is any substantial disagreement between the schools/college. Such issues are generally forwarded to the entire senate for review, and the senate does have proportional representation. We could establish this as a formal or informal practice; that if any school/college representative raises objections to an action, either in the excomm or via other channels, it should be brought to the full senate for review. This might relieve concerns about the one school/one vote organization of the excomm.

Par. 1. APPORTIONMENT. Pursuant to Article V, Section C, each constituent faculty of fewer than seventy voting members of the University Faculty shall elect three voting members of the Faculty Senate, each constituent faculty of at least 70 but fewer than 150 shall elect five and each constituent faculty of 150 or greater shall elect ten. The Department of Physical Education and Athletics shall have one voting member of the Faculty Senate. For purposes of apportionment, the membership of any constituent faculty shall be deemed to consist of only those members who are voting members of the University Faculty as defined in Article I.

- b. It's also worth remembering that senate leadership has been trying for several years to streamline senate operations, reducing the number of people involved in senate committees. Increasing the size of the excomm to provide for proportional representation would complicate staffing of the excomm, mean more work for several people, and weaken the clear lines of responsibility that were a major reason for the change in the excomm this year.
- c. One could address both of the concerns described above by retaining the current size of the excomm but allocating more of the positions to the larger schools/college or simply opening the election to anyone on the senate who wants to serve, which would likely have the same effect; this is how the excomm was staffed in previous years. This would, however, eliminate the lines of communication that have been set up to the eight constituent faculties and make it much more difficult for the excomm to understand the concerns of schools which do not have representation.
- d. We could expand the pool of ExComm candidates to include past senators or school excomm members - that might help with the workload issue. It would, however, potentially put in place an extra senator from those schools.

In any case, it's arguably premature to consider making changes of this magnitude during our first year of operation under current excomm staffing arrangements, but the excomm should be aware that there are people who would favor such changes.

4. Communication to school/college deans and excomms, and within the senate

The CAS excomm and dean have expressed concerns that issues that are very important to the college are brought to a senate vote before the college leadership has an opportunity to give them proper consideration. The specific issues that were cited were the SAGES proposal to (*largely*) eliminate FSCC courses, a ‘modified workload proposal’ (*I’m not sure what this is*), and proposals regarding student course evaluations (*which is still in FSCUE as of this writing*). In response, it was pointed out that there is a college representative on FSCUE, another college faculty member is vice chair of FSCUE and that the college’s Committee on Educational Programs (*curriculum committee*) was presumably informed of the SAGES proposal via its two members on the FSCUE curriculum subcommittee, one of whom chairs the college’s curriculum committee while the other is the associate dean of curriculum for the college. This response was deemed inadequate by the college leadership, which feels that the college excomm and dean must be kept informed more directly by the senate and be given sufficient time to consider issues of concern to the college before the senate reviews them. “In sum, the College Exec Comm requests that the Senate Exec Comm inform the College Exec Comm of any proposals that significantly affect the College, and that this should happen before such proposals be presented to the Senate, in order to provide appropriate notification and input.”

A flurry of communications has since clarified that the CAS representatives on FSCUE and its subcommittees will strive to keep the CAS excomm and dean better informed and that the CAS excomm will make its needs clearer to its senate and senate committee representatives. In addition, the CAS excomm has decided to include in its monthly meetings an opportunity for its senate representative to report on senate activities. This is a step in the right direction.

However, it’s clear that the senate leadership should also make adjustments and consider changes in senate processes to improve our own internal and external communication channels and forestall recurring problems of this nature. Our current system of communication between the senate and the schools/college has several elements. Many of the items described below focus on FSCUE but apply to other senate activities as well.

- a. The school/college excomm representatives are charged with communicating to their faculty leadership and deans. However, this doesn’t address the concerns of the college if the excomm learns of proposals only a few days before each excomm meeting and the excomm approves items for senate review at the following senate meeting, a week or two later. (*This year’s meeting schedule is posted at <http://case.edu/president/facsen/meetings/index.html>.)*)
- b. Senate committees are generally, but not always, staffed with representatives from appropriate constituent faculties. This means that we cannot always rely on communications between senate committee members and their school/college leadership. Our by-laws carefully describe the composition of the senate budget, grad studies, nominating, FSCUE, and libraries committees and insures that each has the proper distribution of representatives, but we rely on the wisdom and success of our nominating committee to identify appropriate candidates for by-laws, compensation, personnel,

information and communication technology, minority affairs, research, and women faculty. Furthermore, the success of this process depends upon volunteers who complete the annual faculty interest survey to indicate their willingness to participate in senate committees. There is no guarantee, and in some cases, no possibility that every school/college will have representatives on these latter committees. By-laws and minority affairs do not have enough members to represent every school and the college. It's therefore critical that the excomm and the senate be kept well-informed about the activities of these senate committees in particular.

- c. The assumption has been that members of the first group of committees would alert their school/college leaders when their committee is discussing an issue that might be of concern to their school/college. Independent of the problem described above in item 4b, it appears that this message is not clear, either to members of the senate committees (*who do not automatically assume this to be one of their responsibilities*) or to the school leaders, who have not always sought to establish strong ties to their senate or senate committee members. This might be addressed simply by a message from the senate excomm and/or senate committee chairs at the beginning of each academic year explaining these expectations, but this will only be effective if the school/college leaders follow through from their end and invite these interactions.
- d. The deans of each of the eight constituent faculties and the chairs of their excomm's (*or equivalent*) were sent the list, distributed last August for the senate leadership retreat, of issues that each senate committee was expected to consider this academic year. While that list did not include fine details or final proposals on these topics, or issues that have come up since August, it should have alerted the school/college leaders to the various discussions that have been taking place. This list was based largely on the final reports of the senate committees, and these reports are available via the senate web site archives, http://case.edu/president/facsen/meetings/10_11/.
- e. Many, but not all, of the college's concerns center on FSCUE actions. The deans of each of the eight constituent faculties are sent the emailed draft meeting minutes from each FSCUE meeting, every two weeks. The CAS requested specifically that each associate dean (*Peter Whiting, Jill Korbin, Molly Berger, Steve Haynesworth*) get copies, in addition to Cyrus Taylor, and this is the only school where the associate deans directly receive this information. This should generally provide significant advance notice and additional time before any FSCUE action would be considered by the senate excomm and the senate, but it might still leave only ~ 3 weeks for a final FSCUE recommendation to make its way to the senate.

The chair of FSCUE, Larry Parker, and Liz are reviewing expanded access to FSCUE information, to include the chair of the executive committee (*or equivalent*) and the chair of the undergraduate program committee (*or equivalent*) of each UPF school/college. FSCUE does, however, want some time to think this through.

The question of how information *should* flow between and within the senate and the schools/college, and what checks and balances we should institute, is an interesting (*complex*) one. We need to insure that each senate committee communicates to its counterparts in the schools/college. Whether those counterparts communicate to their school/college excomm's and deans is beyond our direct control, although we should actively encourage such communication

and perhaps provide a backstop. This might seem like a non-issue in some smaller constituent faculties, where informal mechanisms are sufficient, but in a faculty of more than 200 people like the CAS (*and perhaps also in the CSE and more so in the SOM*) more formal communication mechanisms are needed.

In addition, the senate excomm needs to make certain that the senate committees communicate appropriately with each other, with us and with the senate itself. There are processes in place, mandated reports to the excomm and senate, that are meant to make this happen, but we might be able to improve the timing and other aspects of our mechanisms.

Below are some actions the senate excomm could consider.

- a. Agenda for senate meetings are supposed to be distributed at least one week before the meeting. We've failed to meet that deadline on many occasions, generally due to a desire to finalize the agenda and assemble all the supporting documentation before distributing this material via email. The senate leadership has considered moving towards a different method of distributing this material, but has been reluctant because many senators prefer an email package sent directly to them. However, people are frustrated if they receive multiple emails with additional information and updates.

While some faculty members object to having to access a web site for meeting information, this reluctance has diminished in recent years and several senate committees, including FSCUE and its predecessor, the UUF, successfully used Blackboard to distribute and archive materials. Liz and Hollie have set up Blackboard sites for all of the senate committees, but only a few have chosen to avail themselves of this option (*By-Laws, FSCUE, Grad Studies; FSCICT has its own Google site*). We propose to do this now for the senate, as announced at the February senate meeting. The tentative agenda approved by the excomm will be distributed to the senate shortly after each excomm meeting. This will usually happen 1 – 2 weeks, and definitely no fewer than 7 days, before the following senate meeting. The timing of agenda items might change as Liz contacts presenters and works out a final schedule, but the agenda items themselves should not change after the excomm approves them. Documents will be added as they are made available, but most are ready by the time of the excomm meetings. Senators will need to check the senate web site for updates a few days before each senate meeting.

- b. We will move to a similar system for excomm meetings as well. A tentative agenda for excomm meetings is established after the agenda planning meeting, commonly a week but sometimes just a few days in advance. In setting up the schedule for 2012-2013, it was decided that it is more important to leave time between excomm and senate meetings than between agenda planning and excomm meetings. Given the constraints of scheduling, it is impractical to make ideal arrangements for all three meetings each month.
- c. Deans already have access to senate agenda, as they have a *privilege to attend* senate meetings. Should we provide similar access to school excomm chairs? Should either group have access to senate excomm agenda and Blackboard postings or should we instead let senate excomm members decide what information should be shared? (*How many are already doing this?*)
- d. A week or two between an excomm meeting and posting of an agenda does not provide much time for school excomm's to consider proposals and consult their senators, particularly since

many faculty committees meet only monthly. Do we want to purposely insert additional steps or delays in moving things from the excomm to the senate? This may lead to complaints, people are at least as likely to complain about things moving too slowly in the senate as they are about things moving too quickly, but this might prevent major problems. These delays would not be described as delays, but as deadlines, scheduling policies, etc.

How much time is needed to insure that consultation is possible; is 6 weeks about right? We could accomplish this by, for example, having the excomm schedule senate meetings a month in advance for anything that might be controversial rather than focus entirely on the senate meeting in the same month as the excomm meeting. This could be done at the request of any excomm member.

Approval of items that have any significant potential effect beyond a single school/college and which hasn't already been reviewed by the appropriate dean and school/college excomm could be scheduled for the senate meeting in the following rather than the same month. A school's/college's internal proposals, already approved by the dean and faculty of that school/college, would be placed on the agenda for the same month. This might include changes in by-laws, department names, degree programs, etc. although some of these might also require consideration by other schools or the college. It would be up to the members of the senate excomm to make this determination.

- e. Should we require signoff by deans and school/college excomm's for a broader range of senate issues? We already require formal approvals from both sources for changes in degree programs. Proposals will not be taken to the senate until these are in hand, although the excomm sometimes considers such proposals and adds them to the senate agenda *pending* formal letters of support. The dean's signature in particular insures that the school/college has thought through any budget implications and is willing to accept financial responsibility for the changes.

If we move in this direction, we will need to decide what types of issues merit this treatment and whether all eight schools and the college need to be consulted on the full range of topics. For example, for FSCUE issues, perhaps only the 4 UPF schools (+SOM + PHED?) need to be involved. We'll also have to establish a deadline to either supply the approval or request additional time. Note that this step does not convey veto power; just an opportunity to request changes or voice opposition.

- f. Is this concern about additional consultation peculiar to the College? Do other schools think they also want more a more careful, structured review process? This might in fact be interpreted as a nuisance for some smaller schools which don't have the challenges of the college and the breadth of concerns. Would it be reasonable to put in place special procedures for the CAS, plus other schools that request the same options?
- g. Do we want to establish deadlines for proposals to the excomm, perhaps requiring that they arrive 10 days before the excomm meeting to allow time for review? Note that there will always be pressures to ignore these deadlines. We already have a deadline of sorts; an agenda planning meeting that precedes each excomm meeting by about 1 week. Proposals that require careful consideration by the provost and president should be received a few days before the monthly agenda planning meeting. Most of the materials for each excomm meeting, plus the agenda for that meeting, should be available shortly after the agenda planning meeting.

- h. Should we *require* that each senate committee establish a web presence where those with a need to know can keep an eye on the progress of issues through each committee and have access to the supporting documentation for those issues? People certainly do NOT agree on how open a committee's deliberations should be.

Although some individuals and committees, such as FSCICT, might prefer to make their own arrangements, should we adopt a uniform system managed by the Secretary of the University Faculty? Is Blackboard the best choice, or Google sites or something else?

- i. Can we establish a system that keeps everyone with a need to know better informed about issues that are being discussed in senate committees, including at an early stage when it's easier to modify a proposal and at a later stage when a proposal is begin finalized? (*Who has a need to know: senators, senate excomm and other senate committee members, deans, school/college committee members*) Even the senate chair often learns about such things only a few days before the excomm does.

For example, we could establish a web site where each committee posts the issues they are considering. This would include an estimate of when the committee will discuss those issues and when they might ask the excomm to place it on the agenda for the senate.

At the August retreat we distributed to the excomm and to the school/college excomm's/dean's a list of all issues that we thought the senate and its committees might consider this year. Should we maintain such a list or flowchart more carefully, adding new items as they are brought to our attention, providing estimates of when each issue will be reviewed and taken to the excomm and senate for action, providing clearer descriptions of these issues (*instead of names or abbreviated phrases*), and archiving supporting documentation associated with each issue? Who should have access to this information; all senators, all faculty, etc.?

Would it be sufficient to keep the senate excomm better informed about progress of issues through senate committees, so that you can inform your school/college leadership far in advance of any action? How should we do this; are occasional committee reports sufficient? Would you prefer a synopsis of each senate committee meeting?

The chair's announcements to the excomm and the senate each month should include a list and brief description of new business items that each senate committee is beginning to consider. The senate should be encouraged in August to review the year-end committee reports from the previous spring, to learn more about items that will be considered during the current year

- j. We could instruct school/college representatives on senate committees to confirm with their counterparts in their schools/college and with their executive committee and dean that it is okay to forward a proposal to the executive committee for consideration by the senate, before they take this step. We might think this is already happening but the evidence says otherwise. A letter each August from the excomm to each senate committee might help.

Again, this does not confer veto power. If a dean or school/college committee raises objections, the senate committee could try to alleviate those objections internally or refer the matter to the senate excomm along with the objections. The executive committee would have the option to place the item on the agenda for the senate to consider (*along with the*

objections), negotiate or arrange negotiations between the parties, send the proposal back to the committee, or simply decline to proceed to the senate.

- k. Should everything the senate, and perhaps the excomm, considers that might lead to a vote in the senate be phrased as a formal motion, resolution or recommendation? Doing this in advance of the excomm meetings would eliminate a potential source of delay later in the process.
- l. Does the senate excomm need communication channels to the schools and college other than those we've already put in place or considered?

Dear President Snyder and Dr. Chottiner,

I was recently made aware that Case Western Reserve University's rating by FIRE (Foundation for Individual Rights in Education) was downgraded from yellow to red. As detailed below, the rationale for this change related to our stated policy on sexual harassment. While I appreciate the sensitivity of this issue, it is important for the continued health of our academic mission that we not proscribe the ability to fully discuss ideas. The excerpt below is from FIRE:

According to <http://www.case.edu/diversity/sexualconduct/harass/>, sexual harassment is "any unwelcome sexual advance, requests for sexual favors, or other verbal or physical contact of a sexual nature directed at someone because of their gender or motivated by animus based on gender." This definition potentially sweeps in a tremendous amount of expression, including controversial opinions on sex- and gender-related topics if someone perceives those opinions to be "motivated by animus based on gender." It is also a far cry from the legal definition of harassment in the educational setting (as set forth by the U.S. Supreme Court in *Davis v. Monroe Country Board of Education*), which is conduct "so severe, pervasive, and objectively offensive, and that so undermines and detracts from the victims' educational experience, that the victim-students are effectively denied equal access to an institution's resources and opportunities."

The stated policy at CWRU seems to go well beyond the interpretation provided by the Supreme Court. The American Association of University Professors has also weighed in on freedom of speech with respect to potentially contentious matters as well:

In response to verbal assaults and use of hateful language, some campuses have felt it necessary to forbid the expression of racist, sexist, homophobic, or ethnically demeaning speech, along with conduct or behavior that harasses. Several reasons are offered in support of banning such expression. Individuals and groups that have been victims of such expression feel an understandable outrage. They claim that the academic progress of minority and majority alike may suffer if fears, tensions, and conflicts spawned by slurs and insults create an environment inimical to learning.

These arguments, grounded in the need to foster an atmosphere respectful of and welcoming to all persons, strike a deeply responsive chord in the academy. But, while we can acknowledge both the weight of these concerns and the thoughtfulness of those persuaded of the need for regulation, rules that ban or punish speech based upon its content cannot be justified. An institution of higher learning fails to fulfill its mission if it asserts the power to proscribe ideas—and racial or ethnic slurs, sexist epithets, or homophobic insults almost always express ideas, however repugnant. Indeed, by proscribing any ideas, a university sets an example that profoundly disserves its academic mission.

This statement by the AAUP would seem to be in concert with the sentiment of our own Faculty Handbook, Chapter 3, Part 1, Article 1, Section D:

Academic Freedom

1. Fundamental to the purposes of the University is the belief that progress in social and individual welfare is ultimately dependent on the maintenance of freedom in academic processes. Especially vital is the protection of expression, which is critical toward conventional thought or established interests.

2. Academic freedom is a right of all members of the University Faculty and applies to university activities including teaching and research. Specifically, each faculty member may consider in his or her classes any topic relevant to the subject matter of the course as defined by the appropriate educational unit. Each faculty member is entitled to full freedom of scholarly investigation and publication of his or her findings.

I would be happy to facilitate a dialogue between the Administration and concerned Faculty over this issue. I am certain that a policy that is sensitive to the needs of the Community, but accommodating academic discourse can be achieved. Please let me know how you would like to proceed.

Sincerely,

Bob

Robert B. Petersen, PhD

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