



THE FLORIDA STATE UNIVERSITY  
OFFICE OF THE DEAN OF THE FACULTIES

August 24, 2011

MEMORANDUM

TO: Members of the Faculty

FROM: Dr. Jennifer Buchanan  
Interim Dean of the Faculties and Deputy Provost

SUBJECT: Important Policies and Procedures

As the new academic year begins, I want to direct your attention to several important academic and general policies and procedures that govern your teaching, research, and service activities. **One important change is an additional day for the Thanksgiving Holiday for students. There will be no classes the day before Thanksgiving, Wednesday, November 23.** This memorandum will remind you of your responsibilities under those policies. Please pay special attention to the Academic Honor Policy and the Incomplete Grade Policy sections, because both were revised substantially in 2009-10. Please see the following websites for additional information:

- Office of the Dean of the Faculties (<http://dof.fsu.edu/>)
- the *Faculty Handbook* (<http://facultyhandbook.fsu.edu>)
- the *Florida State University General Bulletin 2011-2012* (pdf version to download or view in your browser) and *Graduate Bulletin 2011-2012* (<http://registrar.fsu.edu/bulletin/undergrad/info/apdefault.htm>)
- FSU Policies and Procedures (<http://www.vpfa.fsu.edu/policies/index.html>)
- Office of Research (<http://www.research.fsu.edu/>)
- *The FSU Board of Trustees - Florida State University and The United Faculty of Florida Collective Bargaining Agreement* (<http://dof.fsu.edu/Collective-Bargaining>)

**General University Policies**

1. Outside Employment/Conflict of Interest (<http://dof.fsu.edu/General-Faculty-Information>)
  - “Outside activity” is defined as private practice, private consulting, additional teaching or research, or other professional activity, compensated or uncompensated, which is not part of the faculty member’s assigned duties and for which the University has provided no compensation.
  - “Conflict of interest” is defined as any conflict between the private interests of the faculty member and the public interests of the University, or the State of Florida, including conflicts of interest specified under Florida Statutes, or any activity which interferes with the full performance of the faculty member’s professional or institutional responsibilities or obligations. Conflicts of interest, including those arising from University or outside activities, are prohibited.

Florida State University encourages University faculty and academic staff to undertake outside activities, subject to the conditions stated in this policy on outside activity, which will increase the employee's professional reputation and service to the community. If an outside activity is undertaken, the faculty member or academic staff must take reasonable precautions to ensure that the outside employer or other recipient of services understands that the faculty member or academic staff is engaging in such outside activity as a private citizen and not as an employee, agent, or spokesperson of the University. A faculty member must not engage in any outside activity which the employee may reasonably conclude might create a conflict of interest or which might interfere with the full performance of the faculty member's academic responsibilities in the classroom and in non-classroom administrative, research, and advising obligations.

Before assuming or continuing any outside activity, the *Florida State University Faculty Outside Activity Statement* form (FSU Form FOA 802) must be completed and approved by the chair/supervisor and dean/director/vice president. After all necessary approvals have been received, the original of this form must be submitted by the dean/director to the Office of the Dean of the Faculties.

2. Dual Compensation (<http://dof.fsu.edu/Appointments/Dual-Compensation>)

The Florida State University Council of Deans has delegated the approval process that ensures compliance with University dual compensation guidelines to the appropriate deans or directors.

Dual Compensation is defined as compensation from the University for employment in excess of one full-time equivalent established position (1.0 FTE). This means faculty members may be employed in excess of 1.0 FTE by more than one department within the University, provided such employment:

- is approved by the dean or director of both the primary and secondary employing unit. Approval must be requested and granted prior to the dual compensation appointment and/or the performance of any work with the secondary employer;
- involves activities such as teaching courses on a branch campus (e.g., the Panama City Campus), conducting workshops not associated with the employee's regularly assigned duties, and teaching continuing education courses as well as other activities involving continuing education. The dean or director also has the authority to approve dual compensation under extenuating circumstances that would require immediate secondary employment upon approval;
- does not interfere with the regular work of the faculty member for the primary department;
- does not result in any conflict of interest between the two activities;
- is compensated from OPS, not salary funds;
- is offered to qualified faculty members before anyone who is not a faculty member. No faculty member is required to accept a dual compensation appointment.

3. Sexual Harassment Policy (<http://www.auditservices.fsu.edu/sh/policy.html>)

Sexual harassment is a form of discrimination based on a person's gender. Sexual harassment is contrary to the University's values and moral standards, which recognize the dignity and worth of each person, as well as a violation of federal and state laws and University rules and policies. Sexual harassment cannot and will not be tolerated at The Florida State University, whether by faculty, students, or staff, or by others while on property owned by or under the control of the University.

Employees and students who engage in sexual harassment will be subject to applicable disciplinary processes. Acts of sexual harassment which also constitute sexual battery or other violation of criminal law will be referred to the appropriate authorities for prosecution.

Under the University's sexual harassment policies and procedures, the Office of the University's Coordinator of Sexual Harassment Resolutions within the Office of Audit Services is designated to receive and investigate sexual harassment complaints as set forth in the University policy and to maintain records of all complaints. The policy requires all Florida State University community members to report incidences of sexual harassment promptly. The *Florida State University Sexual Harassment Policy* is available on the web at <http://www.auditservices.fsu.edu/sh/policy.html> or by contacting the Office of Audit Services at 644-6031.

4. Sexual Battery Policy

Florida State University is committed to educating the University community regarding the serious issues related to sexual battery as well as penalizing those who commit sexual offenses and providing support to victims. The complete policy statement is available under *University Policies* on the Office of the Dean of the Faculties website at <http://dof.fsu.edu/General-Faculty-Information>.

5. Alcohol and other Illicit Drug Policy

([http://registrar.fsu.edu/bulletin/undergrad/info/university\\_notices.htm](http://registrar.fsu.edu/bulletin/undergrad/info/university_notices.htm))  
(<http://www.tshc.fsu.edu/par/documents/FSUAlcoholPolicy.pdf>)

The provisions in the two sites identified above constitute the alcohol and illicit drug policy of Florida State University. The policy delineates where and under what circumstances alcohol is permitted on campus. Please note that specific approval from the appropriate administrative designee is required to serve alcohol in areas that are not designated for special events by the University. For faculty events the designee is the Dean of the Faculties, for student groups the designee is the Vice President for Student Affairs, and for all other groups the designee is the Vice President for University Relations.

It also includes a clear statement of the standards of conduct that prohibit unlawful possession, use, or distribution of illicit drugs and alcohol on Florida State University's property or part of its activities; a description of the health risks associated with the use of illicit drugs and the abuse of alcohol; a description of the legal sanctions under local, state and federal law; a description of applicable counseling, treatment, or rehabilitation or re-entry programs; and a clear statement of the disciplinary sanctions the institution will impose on students and employees, and a description of those sanctions.

6. Faculty Member Seeking Advanced Degree at Florida State University

No tenure-track faculty member above the rank of instructor is permitted to work toward an advanced degree at the University. This policy applies to the ranks of assistant professor, associate professor, and professor. Exceptions are made when the faculty member already holds the terminal degree in her/his field and wants to pursue another Ph.D. in a different field or pursue a less advanced degree than the degree the faculty member holds (e.g., a faculty member holding a Ph.D. may pursue a Masters).

7. Faculty Absences

A faculty member who is absent because of illness or for other legitimate reasons should notify the department chair or academic dean as soon as possible in order to make arrangements for the meeting of classes and the performance of other scheduled activities.

**Teaching Policies**

1. Course Syllabus (<http://facsenate.fsu.edu/Curriculum-Forms>)

University and Faculty Senate policy requires that a course syllabus be distributed at the beginning of the semester that includes:

- written course objectives;
- an evaluation (grading) statement that indicates what procedures will be used to evaluate students and should make it possible to discern the approximate weight of each grade component;
- an Americans with Disabilities Act (ADA) statement (sample statement at <http://facsenate.fsu.edu/Curriculum-Forms/Policies> or at <http://www.disabilitycenter.fsu.edu/faculty.html>);
- a statement regarding academic integrity (see the Academic Honor Policy in Appendix A of the *Faculty Handbook* or at <http://facsenate.fsu.edu/Curriculum-Forms/Policies>); and
- the attendance policy (if applicable).
- It is recommended that instructors include a statement of their policy and/or expectations regarding classroom conduct and missed work.
- It is also recommended that instructors include a statement regarding the availability of tutoring on campus. (See sample at <http://facsenate.fsu.edu/Curriculum-Forms/Policies>)

Once the course has begun, no changes should be made to the syllabus that will substantially affect the implementation of the instructor's grading [evaluation] statement.

2. Class Attendance

The instructor decides what effect unexcused absences will have on grades and will explain class attendance and grading policies in writing at the beginning of each semester. Instructors must accommodate absences due to documented illness, deaths in the family and other documented crises, call to active military duty or jury duty, religious holy days, and official University activities and must do so in a way that does not arbitrarily penalize students who have a valid excuse. Consideration should also be given to students whose dependent children experience serious illness. All students are expected to abide by each instructor's class attendance policy. Students must also provide advance notice of absences (when possible) as well as relevant documentation regarding absences to the instructor as soon as possible following the illness or event that led to an absence. Regardless of whether an absence is excused or unexcused, the student is responsible for making up all work that is missed. University-wide policy requires all students to attend the first class meeting of all classes for which they are registered. Students who do not attend the first class meeting of a course for which they are registered will be dropped from the course by the academic department that offers the course. In order to enforce this policy, instructors are required to take attendance at the first class meeting and report absences to the appropriate person in their department or school/college. For further information, consult the FSU General Bulletin at: <http://registrar.fsu.edu/bulletin/undergrad/apdefault.htm>. Please

note that some colleges and special programs have more stringent requirements for class attendance.

3. Instructor-Authored Textbooks

When a textbook (written by the instructor of the course, by a relative of the instructor, or by a team of authors which includes the instructor) is required and the author/instructor anticipates receiving textbook royalties from students enrolled in her/his course of more than \$500 in one year, it is considered a conflict of interest (Section 112.313, Florida Statutes). The author/instructor must request permission (to use her/his textbook under these circumstances) from the President in writing, through the Dean of the Faculties, prior to the use of her/his textbook. The request must include:

- Statement that royalties from required textbook purchased by her/his students in her/his course at FSU are anticipated to exceed \$500 in one year;
- Estimate of how many students per year will enroll in her/his course where her/his textbook is required; and
- Justification of the unique suitability of the textbook for use in her/his course.

If the expected royalty income is \$500 or less, no request is required.

4. Ordering Textbooks and Other Materials Required for Courses

To comply with recently adopted federal and state requirements, all instructors must identify, *before* the beginning of student registration for the courses they will teach, the textbooks and other materials that are required for the course. They must also identify those items that are only recommended. When instructors of particular sections of a course have not yet been assigned, the faculty member responsible for oversight of the sections is responsible for the timely submission of such orders.

Instructors, supervisors, or the individuals authorized to do so for them, shall enter the data in the “Course Textbook Adoption” application that is accessible in Blackboard under the “Secure Apps” tab. The instructor, supervisor, or designee must also certify compliance with the following federal and state legal requirements:

- First, all instructors requiring the purchase of a new edition of a textbook must affirm that they have decided to do so only after having judged that the differences between a previous edition and the new edition are substantive and significant enough to warrant adoption of the new edition.
- Second, instructors who order a bundled package rather than one or more of its parts must affirm that all of the items bundled are required for use by the students.

5. American with Disabilities Act (ADA)

Each faculty member and teaching assistant has the responsibility to comply with the American with Disabilities Act (ADA). Information on ADA requirements may be found in the *Guide to Reasonable Accommodations for Faculty and Staff* available at <http://www.disabilitycenter.fsu.edu/faculty.html>. See sample ADA statement at <http://facsenate.fsu.edu/Curriculum-Forms/Policies> that must be included in each course syllabus.

6. Academic Honor Policy (<http://dof.fsu.edu/Academics/Academic-Honor-Policy>)

The University has an Academic Honor Policy that calls for the coordinated efforts of faculty members and students to uphold academic integrity and combat academic dishonesty. The policy was revised in 2010 to require a formal hearing in cases involving graduate research and other culminating activities, as well as to eliminate “intention” as a factor in plagiarism charges. A copy of the policy that includes all procedures and necessary forms can be found on the Dean of the Faculties website at <http://dof.fsu.edu/Academics/Academic-Honor-Policy>. Faculty members should remind students at the beginning of the term that they are bound by the Academic Honor Policy in all of their academic work. Also, faculty members must include a statement in each course syllabus referring students to the Academic Honor Policy and defining their expectations about two specific areas of the policy: whether group work and multiple submission are permitted. The Academic Honor Policy applies to all Distance Learning, International, and other off-campus programs. See sample Academic Honor Policy statement at <http://facsenate.fsu.edu/Curriculum-Forms/Policies> that must be included in each course syllabus.

6. Posting of Student Grades

The password-protected, web-based “Blackboard” System is the most secure method for posting student grades. Because of the risk of identity theft, grades must **never** be posted by complete social security numbers, and any records containing social security numbers must be protected carefully and must be shredded when discarded. The Family Educational Rights and Privacy Act requires the student's consent to public posting of his or her grades by name or other personal identifier, including a portion of the social security number. When posting grades of students who have given such consent, the faculty member should not arrange the list in alphabetical order. For additional information, go to the FSU FERPA website: <http://registrar.fsu.edu/ferpa>

7. Incomplete Grade Policy: (Revised 2010 by the Faculty Senate)

“Incomplete” (“I”) grades should be recorded only in exceptional cases when a student, who has completed a substantial portion of the course and who is otherwise passing, is unable to complete a well-defined portion of a course for reasons beyond the student’s control. Students in these circumstances must petition the instructor and should be prepared to present documentation that substantiates their case. “Incompletes” should not be granted in order to allow students to do extra coursework in an effort to increase their grades.

Even under these circumstances, the authority for determining whether to grant an “Incomplete” rests solely with the instructor. A Graduate Teaching Assistant must have approval from a supervising faculty member to grant an “Incomplete.” (One exception to this guideline occurs when an “Incomplete” is applied as a result of allegations of academic dishonesty that have not been resolved by the end of a semester.) Deans’ offices can often provide guidance to instructors regarding the appropriateness of an “Incomplete” in individual cases.

In order to assign an “Incomplete,” an instructor is required to indicate on the grade roster the time frame for resolution of the grade and the default grade to be assigned if the student does not complete the remaining academic work. Some departments also require that an

“Incomplete” be documented with an “Incomplete Grade Agreement.” It is the student’s responsibility to complete the remaining academic work within the agreed-upon time frame.

Under University policy, an “Incomplete” grade automatically reverts to the predetermined default grade at the end of the semester that has been specified by the faculty member as the time frame for resolution, unless one of two conditions is met:

1. Upon completion of the agreed-upon work, the instructor submits a grade-change form that replaces the “I” with the final grade for the course.
2. The instructor submits a separate “Incomplete Extension of Time” form to the Evaluation and Posting Section of Admissions and Records before the end of the semester in which the “I” is set to expire.

In cases where no default grade or instructor-determined expiration semester exists, incomplete grades will expire to an IE at the end of the next term of enrollment unless the instructor submits a grade change form prior to the official grade posting deadline. No grade changes will be made to default grades or unresolved “I” grades after the degree has been granted. Thus, it is critical that an instructor work closely with the student and department staff regarding the clearance of an “Incomplete” grade.

Effective Fall 2010, any "I" grades awarded will also be accompanied by the default grade. If the student fails to complete the coursework by the determined semester, the default grade will replace the "I" and become the final grade. Students may not complete the work at a later date and expect to replace the final grade.

8. Grade Appeals System (<http://dof.fsu.edu/Academics/Grade-Appeals-System>)

The purpose of the grade appeals system is to afford an opportunity for an undergraduate or graduate student to appeal a final course grade under certain circumstances. Faculty judgment of students’ academic performance is inherent in the grading process and hence should not be overturned except when the student can show that the grade awarded represents a gross violation of the instructor’s own specified evaluation (grading) statement and therefore was awarded in an arbitrary, capricious, or discriminatory manner. The evaluation (grading) statement utilized during the grade appeals process is the one contained in the instructor’s syllabus at the beginning of the semester. This system does not apply to preliminary or comprehensive exams or to thesis or dissertation defenses; these issues are reviewed by the Student Academic Relations Committee via the Dean of the Faculties.

The entire policy is found in the *Academic Regulations and Procedures* section of the *Florida State University General Bulletin* (<http://registrar.fsu.edu/bulletin/undergrad/apdefault.htm>) and on the Office of the Dean of the Faculties website (<http://dof.fsu.edu/Academics/Grade-Appeals-System>)

9. Undergraduate Final Examinations

*Florida State University General Bulletin and Exam Schedule*  
(<http://registrar.fsu.edu/bulletin/undergrad/apdefault.htm>)  
(<http://dof.fsu.edu/Academics>)

The Undergraduate Final Examination Policy provides:

- Final examinations in undergraduate courses are discretionary within any given department. If a department chooses to give a final exam, the exam schedule must be followed as published.
- All students, including graduating seniors and graduate students, enrolled in an undergraduate course having a final examination are required to take the examination.
- The scheduling of a final examination at any time other than the regularly scheduled final examination period is prohibited by University policy. The final exam schedule is found in the Registration Guide located at <http://registrar.fsu.edu/>.
- Unless an exam is given during the final examination period, no test may be given during the last week of classes.

Classes meeting every day at the same hour and classes meeting for more than one time period will hold examinations according to the time and day of the first scheduled class meeting of the week. For example, a class meeting at 8:00 a.m. on Tuesday and at 9:30 a.m. on Thursday will hold its examination at the exam time scheduled for Tuesday 8:00 a.m. classes.

*Exceptions to the Examination Policy for an Individual Undergraduate Student:*

Approval by the academic dean of the college in which the course is taught is required for any change in examination time for an individual undergraduate student. The student must first receive written permission from the instructor, if the instructor is willing to give a make-up examination at a specified time within the exam week. The student must then petition the dean, giving the reason for the requested exception, and including the instructor's written permission. The dean will then notify the instructor in writing if approval is granted.

Make-up examinations are permitted for an undergraduate student when justified by illness, conflicting examinations, four or more examinations in a 24-hour period, or for certain emergencies. Arrangements must be made prior to the scheduled exam.

In case of conflicting examinations, group examinations take precedence over examinations scheduled by class meeting time. In the case of conflicts that cannot otherwise be resolved, the course meeting earlier (by day or time) takes precedence over a course meeting later.

*Exceptions to the Examination Policy for an Entire Undergraduate Class:*

Courses that utilize the University Assessment Center for a block exam, or which are otherwise limited to specific days and times because of seating and scheduling constraints, will take precedence in the case of final exam schedule conflicts. It is the student's responsibility to identify such conflicts as early as possible and to notify all instructors in advance so that accommodations may be made.

No instructor of an undergraduate course may give a final examination during the separate examination period at a time other than that which appears online at <http://registrar.fsu.edu/>, unless the instructor has obtained prior approval from the Undergraduate Policy Committee. This approval must be requested, in writing, at least three (3) weeks prior to the scheduled final examination. To schedule a final examination without prior approval places the instructor in jeopardy of administrative reprimand by his or her dean and the Provost and Executive Vice President for Academic Affairs.

Graduate Final Exams

If a final exam is given in a graduate course, the exam should be scheduled during the established final exam schedule unless clear arrangements are made with the students and the Registrar's Office.

Examination Papers

University policy requires that examination papers of students shall be kept in the departmental file of the faculty member giving the examination for one year after the examination is given. Faculty members leaving the University before the completion of the year must leave the examination papers in the departmental files.

10. Course Evaluations

The student survey is one among several components of teaching evaluation. It is Faculty Senate policy that all instructors (faculty, adjuncts, and graduate assistants) are required to administer official course evaluations in all graduate courses with enrollments of five or more students, and in all undergraduate courses with ten or more students during the academic year (fall and spring semesters). In courses with lower enrollments than those designated, administration of official course evaluations is not recommended due to concerns over the anonymity and representativeness of responses. Unless prescribed by departmental vote, instructors may choose between using either the paper-based or the web-based survey.

Under normal circumstances, instructors may not administer official course evaluations during final exam week. However, the Evaluation Committee of the FSU Faculty Senate has approved a general exception to this policy. Specifically, instructors whose classes are performing field work instead of meeting for the last few weeks of the semester and who are not administering a final examination will be allowed to have paper-based course evaluations administered during their exam-week meeting. Instructors who would like to exercise this option must send an email to Jean-Marc Wise at the Center for Assessment and Testing ([jwise@campus.fsu.edu](mailto:jwise@campus.fsu.edu)) to request a petition form and include the completed form in their course evaluation packet.

More information about course evaluations, including access to the ordering and reporting system, schedule with important deadlines, policies and procedures, and samples of these forms are available at <http://cat.fsu.edu/courseevaluations>.

11. Religious Holy Days (<http://dof.fsu.edu/General-Faculty-Information>)

- Each student shall, upon notifying his/her instructor, be excused from class to observe a religious holy day of his/her faith.
- While the student will be held responsible for the material covered in his or her absence, each student shall be permitted a reasonable amount of time to make up the work missed.
- Professors and University administrators shall in no way arbitrarily penalize students who are absent from academic or social activities because of religious holy day observance.
- A Florida State University faculty member who wishes to observe a religious holy day shall notify the department chair or academic dean as soon as possible in order that arrangements may be made for the meeting of classes and the performance of other scheduled activities.

12. Office Hours

Every member of the faculty is required to post and honor specific office hours each session in which he or she conducts classes. The statement of office hours should be posted in a conspicuous place. While University policy does not set a minimum number of hours per week, standard practice has established that there be at least one hour per week for a minimum classroom teaching load.

13. Copyright restrictions (<http://www.auditservices.fsu.edu/services/copyright/>)

Faculty members are reminded that the copyright law protects the interests of the creators of pieces of literature, inventions, art work, *et cetera*. The Copyright Revision Act of 1976 officially recognizes the "fair use" exception for the use of material without the permission of the copyright holder, and the Act sets up factors to be considered if "fair use" is to apply. Every faculty member should acquaint himself or herself with the regulations of the law in order to adhere to them. Additional information regarding course and print reserves is found on the University Libraries' website at <http://www.lib.fsu.edu/services/materials/reserves.html>

14. University-sponsored Educational Materials (Course Packets)

Under University policy, students may be charged only the actual copying costs for course packets and similar materials used in courses.

**Research Policies**

The Office of Research website (<http://www.research.fsu.edu/>) provides information on research compliance policies and procedures as well as current research funding, training, and workshop opportunities that will assist you with your scholarly research and creative activities.

If you have any questions, please do not hesitate to contact my office at 644-6876. I also encourage you to visit our website at <http://dof.fsu.edu/> for information about a wide range of issues relevant to faculty.