

5.0 ACADEMIC POLICIES AND RESPONSIBILITIES

NOTE: In many cases, policies governing the Joan and Sanford I. Weill Medical College and Graduate School of Medical Sciences of Cornell University differ from policies governing Cornell's Ithaca campus. Faculty at the Medical College and Graduate School of Medical Sciences should consult with the Office of the Provost for Medical Affairs for the relevant policies.

Some of the regulations, guidelines and codes in this section are applicable to the entire university community, but are of primary importance to the faculty. The faculty are responsible for enforcing or complying with the various policies and procedures established by the University Faculty in order to carry out their academic and professional responsibilities.

The following statement on academic freedom and responsibility was adopted by the University Faculty on May 11, 1960:

Principles of Academic Freedom and Responsibility

Academic Freedom for the Faculty of Cornell University means:

Freedom: of expression in the classroom on matters relevant to the subject and the purpose of the course and of choice of methods in classroom teaching; from direction and restraint in scholarship, research, and creative expression and in the discussion and publication of the results thereof; to speak and write as a citizen without institutional censorship or discipline;

and

Responsibility: to perform faithfully the duties of the position; to observe the special obligations of a member of a learned profession and an officer of an educational institution to seek and respect the truth; to make it clear that utterances made on one's own responsibility are not those of an institutional spokesman.

Academic freedom is valued very highly at Cornell, and the University Faculty defends it tenaciously; nevertheless, the same University Faculty is disinclined to see the concept abused. Academic freedom does not imply immunity from prosecution for illegal acts of wrongdoing, nor does it provide license for faculty members to do whatever they choose.

Many departments, particularly in the contract units, have commitments to provide services to the people of New York State or to perform studies in areas judged important to the general welfare. Other departments have commitments to maintain broad research programs in certain areas. All departments have obligations to provide advising and balanced programs of instruction for students. Performing the duties of one's position faithfully entails bearing a suitable share in these departmental responsibilities. The initial expectations held of faculty members are usually made clear in the letter of appointment. As time goes on, the faculty member consults with the department chairperson about shifts that may be needed or desired in these duties. It is understood that normally the determination of the precise assignments should not be entirely unilateral but rather by agreement. In case such agreement cannot be reached,

the chairperson has the responsibility to exercise his or her authority and decide the matter. If the decision is perceived as unfair, the faculty member can resort to the college-level academic grievance procedures described in this section.

The principles of academic freedom assure wide discretion to the faculty member in determining the thrust of research and scholarship, provided the work continues to fulfill departmental obligation. The presumption is always of self-direction and freedom accompanied by responsibility.

Academic Integrity

Faculty members are responsible for both the maintenance of academic integrity throughout the educational process, and the instruction of students in the meaning and importance of this concept. Classes in each course should be informed at the outset about forms of collaboration that are and are not encouraged or permitted in that course.

On March 13, 2002, the Faculty Senate adopted a resolution strongly urging all instructors to include an explicit statement in their syllabi or other course organizational material, regarding the interpretation of academic integrity in the context of that particular course. In lieu of writing their own syllabus statement, faculty may use the following generic, comprehensive statement on academic integrity, with an optional extension for courses that incorporate collaborative work: “Each student in this course is expected to abide by the Cornell University Code of Academic Integrity. Any work submitted by a student in this course for academic credit will be the student’s own work [*Optional: For this course, collaboration is allowed in the following instances: list instances.*]”

Deliberate fraudulence by a student to advance his or her academic status usually merits a penalty of some severity and these cases are governed by the Code of Academic Integrity, reproduced in appendix seven or available on the University Faculty website (<http://web.cornell.edu/UniversityFaculty/docs/main.html>).

The *Academic Integrity Handbook* was prepared to provide faculty and others involved in the instructional program with an explanation of the workings of the academic integrity system. A pamphlet entitled, *The Code of Academic Integrity and Acknowledging the Work of Others*, was prepared for students. Copies of both publications are available either in the Office of the Dean of Faculty or on the University Faculty website (<http://web.cornell.edu/UniversityFaculty/docs/main.html>).

The Cornell Law School and the College of Veterinary Medicine have honor codes that provide the means to monitor academic integrity within their own units. These schools are exempt from the general university Code of Academic Integrity.

Academic Misconduct

Academic misconduct includes any act that violates the standards of integrity in the conduct of scholarly and scientific research and communication. This includes, but is not limited to, plagiarizing the work of others, i.e. intentionally or knowingly

representing their words or ideas as one's own; deliberately falsifying or fabricating data, citations, or information; forging of academic documents; abusing the confidentiality of information obtained from colleagues or other persons; intentionally or knowingly helping another to commit an act of academic misconduct, or otherwise facilitating such acts; or other practices that seriously deviate from ethical standards that are commonly accepted within the scientific and scholarly communities for proposing, conducting, or reporting research. Academic misconduct does not include honest error or honest differences in interpretations or judgments of data. Please refer to the Cornell Policy Library website for a copy of the most current policy (http://www.policy.cornell.edu/vol1_2.cfm).

Academic Year and Calendar

The university bylaws define the academic year as the approximately nine-month period beginning two working days before registration in the fall term and ending on the last day of final examinations in the spring term. Faculty members are not free to depart the campus before submitting grades for their spring-term courses. The summer period is defined as the period between the last day of one academic year and the first day of the following academic year.

Faculty members on both nine-month and twelve-month appointments are expected to be present throughout the academic year (barring leaves of absence, university holidays, and legitimate professional travel) to meet their academic responsibilities.

The provost has authority for setting the details of the calendar after consulting with the Student Assembly and the Faculty Senate. Copies of academic calendars are available from the Office of the Dean of Faculty or may be accessed on the University Faculty website (<http://web.cornell.edu/UniversityFaculty/>). Small variations, announced in advance to the university community, are sometimes introduced into this calendar.

Advising

As a rule, faculty members with responsibility for undergraduate instruction are expected to engage in the advising of undergraduate students. The precise form of this advising varies from one academic unit to another and is ordinarily established by the department chair or dean in consultation with individual faculty members. The advising expected of faculty members usually pertains to academic work within their students' college or academic major but frequently includes advice about career objectives as well (see Career Services in section 7.0). Students with emotional or psychological difficulties should seek counseling through the Counseling and Psychological Services (CAPS) at the university health center (See Gannett: Cornell University Health Services in section 7.0). Faculty are also encouraged to contact CAPS if they are concerned about a student's health.

Book Lists

Faculty members are encouraged to use the text-requisition forms supplied by The Cornell Store to inform the store of the titles of books to be used in their courses. Faculty members additionally are encouraged to submit their book lists to The Cornell Store via the online adoption form (located at www.store.cornell.edu). Deadlines for submitting text lists are April 15th for the fall term, November 10th for the spring term, and March 31st for the summer sessions. (These dates do vary from year to year, so please check the course materials section of the store's website for the latest information.)

In addition to providing traditional textbook services, The Cornell Store can assist faculty in providing departmentally authored materials, custom course packs and copyright clearance. Deadlines for such services are similar to book list deadlines. See the website for more information.

Faculty can help minimize students' textbook expenses by informing the store well before the end of the term of the text they will use the following term. This enables students to receive the highest possible value for books they sell at the store's biannual textbook buyback event. Early adoptions also increase the store's ability to locate as many used books as possible from national wholesalers.

The Cornell Store provides desk copy forms, as well as a database of publisher information, both are available online at the course materials section of the Store's website. Requests for desk copies should be made directly to publishers.

Class Schedule and Absences

Schedule: The policy on scheduling was established by the University Faculty and the Faculty Council of Representatives in 1950 and last amended in 1981:

All lectures, laboratories, recitations, or similar exercises start at specified times and continue for durations of 50 minutes, 75 minutes, one hour and 55 minutes, two hours and 25 minutes, or 3 hours. The university times are printed in "Courses of Study."

On Monday, Tuesday, Wednesday, and Thursday the hours of 4:25 p.m. to 7:30 p.m., on Fridays the hours after 4:25 p.m., on Saturday the hours after 12:05 p.m., and all day Sunday shall be free from all formal undergraduate classes or laboratory exercises.

Evening classes shall be used only on Monday and Wednesday and only when regularly scheduled and included in written college announcements; evening lectures, recitations or similar exercises shall start at 7:30 p.m. and 8:35 p.m., and evening laboratories or similar exercises at 7:30 p.m.

No exceptions to the above class schedules—including the provision for free time on Monday, Tuesday, Wednesday, and Thursday between 4:25 p.m. and 7:30 p.m., on Friday after 4:25 p.m., on Saturday after 12:05 p.m., and on Sunday—shall be allowed except by permission of the dean of the college or the director of the school offering the course; such exceptions as are approved shall be regularly scheduled and included in written university announcements.

Absences. The obligations of academic employees, such as the teaching of classes, meeting with advisees, directing graduate students, and research or extension services to which the university has made a commitment, should not go unmet.

Accordingly, the occurrence of inadvertent or unforeseeable absences, such as those due to sudden illness, transportation breakdown, or other emergency, should be communicated as soon as possible to the employee's department chairperson or director, who will arrange for a substitute or inform students and others dependent on the employee's presence. During planned absences, provision acceptable to the chairperson should be made for fulfillment of the employee's academic obligations, and such provision communicated to students and others affected.

When an academic employee who has missed holding a class assigns a makeup session at a time when the class is not regularly scheduled, some of the students may have other obligations that prevent attendance at that time. If, in attempting to avoid such conflicts, the instructor arranges to have the class taken by a substitute, that person then faces the problem of maintaining the continuity, coherence, and level of presentation provided by the regular instructor. For these and other reasons, the missing of classes should be held to a minimum, and assignments of makeup classes and coaching of a substitute should be done with care. Having such plans approved by the department chairperson is advised.

Students have an obligation to be present throughout each term at all meetings of courses for which they are registered. In some courses, such as physical education and courses in which participation in classroom discussion is considered vital, there may be penalties for absences per se or defined limits to absences, the exceeding of which leads to the student failing the course or receiving a grade of Incomplete. These rules are set by the department or instructor.

In most courses, however, attendance is not taken, and the student's responsibility is for the work covered in the class rather than for being physically present when the class is held. A student is then not penalized directly for missing a lecture, for instance, but is held responsible (in subsequent tests) for knowledge of material presented in the lecture. There are various means by which students can acquire such knowledge and thus avoid an indirect penalty.

It is harder to make up missed work if the class that was missed was a test or a laboratory session or field trip. Such makeups involve the direct cooperation of the instructor. If the instructor feels the absence was unjustified, he or she is not required to provide the student with the opportunity to make up the missed work.

There is no such thing as a "university excuse" for absence from class that frees a student from responsibility for the missed work. Only the instructor of a course can provide such an exemption to a student. **And even the faculty member is not permitted (by legislation of the University Faculty) to cancel classes just before or after academic recesses without special approval of the dean of the school or college concerned. Each faculty member and instructor has the special responsibility of maintaining the regular quality and content of instruction in classes just before and**

after university vacations, regardless of the number of students present in the classroom.

There are some circumstances, however, in which faculty members are not supposed to penalize students directly for missing classes and are urged to try to make opportunities for the students to make up work that was missed. These circumstances include, but are not limited to, the following:

Illness, or family or personal emergency. Gannett Health Center will confirm treatment of students for illnesses. A college office or advisor may also be able to give confirmation. Students have the responsibility of providing help in obtaining confirming evidence of circumstances for which they are requesting consideration.

Religious observances. The university is committed to supporting students who wish to practice their religious beliefs. Students are urged to discuss religious absences with their instructors well in advance of the religious holiday so that arrangements for making up work can be resolved before the absence. Faculty are urged to announce at the beginning of the semester all activities which, if missed, would require make up work.

The New York State Legislature (since July 1, 1992) requires all institutions (public and private) of higher education not to discriminate against students for their religious beliefs. Accordingly, the pertinent parts of Sections 3 and 4 of the law state:

"3. It shall be the responsibility of the faculty and of the administrative officials of each institution of higher education to make available to each student who is absent from school, because of his or her religious beliefs, an equivalent opportunity to make up any examination, study or work requirements which he or she may have missed because of such absence on any particular day or days. . .

"4. If ... classes, examinations, study or work requirements are held on Friday after four o'clock post meridian or on Saturday, similar or makeup classes, examinations, study or work requirements . . . shall be made available on other days, where it is possible and practicable to do so. . . "

Both Cornell as an institution, and its faculty members, have an obligation to comply with the laws of New York State. The language of the law is vague, and particular situations may need interpretation. The Office of the Dean of Faculty may be contacted either for questions or further clarification.

Weather. During winter weather, "snow days" occasionally cause delay or cancellation of activities at the university. Times for making up missed activities in a coordinated way are publicly announced on such occasions. The local radio stations, *The Cornell Daily Sun*, the *Cornell Chronicle*, and other media convey the news.

Athletics and Extracurricular Activities. Students whose participation in varsity athletics or other recognized extracurricular activities requires occasional absences from the campus may present an appropriate slip or letter with the signature of a responsible official, attesting that the proposed absence is in connection with a recognized activity. In the case of athletics, the Faculty Advisory Committee on Athletics and Physical

Education must approve the schedule of events and associated athletic leaves of absence each year, thus assuring that the athletic absences are kept within approved limits and guidelines.

Final examination conflict. See Examination and Academic Activities in this section.

College-Level Grievance Procedures

The university sets minimum standards which are intended to provide appropriate means by which individuals holding academic appointments at Cornell who believe themselves to be aggrieved can obtain consideration and, possibly, redress of their grievance. These minimum standards, which can be found on the Cornell Policy Library website, http://www.policy.cornell.edu/vol6_2_10.cfm, have been implemented to assist the colleges of the university in establishing their specific grievance procedures.

Each college is responsible for establishing grievance procedures that must be published and distributed to all individuals covered by them. Although specific procedures may vary from college to college due to the particular circumstances of each, they must be consistent in their recognition of the interests and responsibilities of the individual, the college, and the university.

A formal grievance procedure may be invoked to seek redress of decisions made and/or actions taken at the departmental, college, and/or university level that the academic employee may consider intolerable to the effective execution of his or her responsibilities. Grievable actions may apply to a number of separate or related components of those responsibilities including: reward; academic freedom; work assignment; working conditions; legally prohibited discrimination involving, but not limited to such factors as race, color, creed, religion, national or ethnic origin, sex, sexual orientation, age, or disability; and the existence of, adequacy of, and adherence to equitable grievance procedures.

Anyone contemplating the initiation of an academic grievance can receive information and counseling from the Office of the University Faculty, the office of the dean of the school or college, or the Office of the University Ombudsman.

Commencement and Baccalaureate Ceremonies

Members of the University Faculty are encouraged to participate in the commencement exercises, which are scheduled on the last Sunday in May. The traditional ceremony begins with an academic procession, which forms on the Arts Quadrangle and proceeds to Schoellkopf Field. In the event of severely inclement weather, the graduation ceremony is shifted to Barton Hall, and there will not be a procession. The president delivers the only address, and no honorary degrees are conferred. A recognition event is held for the doctoral candidates the evening before in Barton Hall. Faculty are encouraged to participate by processing in this formal event to support their doctoral candidates. All other degrees are given out after the ceremony on Sunday in each school or college. The university maintains a supply of gowns, caps, and hoods for

faculty members to borrow for ceremonies on this campus or elsewhere (see Academic Regalia in section 7.0).

A baccalaureate service is held in Bailey Hall on the morning of Commencement Day and special honor is paid not only to the graduating seniors, but also to retiring members of the faculty and staff.

Conflicts of Interest (and Conflicts of Commitment)

All faculty, staff, directors, deans, executive officers and trustees are expected to serve the educational and public purposes to which the university is dedicated. Accordingly, all such members of the university community are obligated to conduct the affairs of the university in a manner consistent with those purposes and to make all decisions solely on the basis of a desire to promote the best interests of the institution. A conflict of interest may arise when a member of this institution engages in academic, business, administrative, or other decisions in ways that could lead to personal gain or advantage of any kind. A conflict of commitment arises when a member undertakes external commitments, which interfere with primary obligations, and commitments to Cornell. Therefore, it is incumbent upon all faculty and staff to familiarize themselves with the Conflicts Policy as approved by the Board of Trustees (available at <http://web.cornell.edu/UniversityFaculty/docs/main.html>) and to complete, each year, the Annual Disclosure Statement of External Interests and Time Commitments. (See also Research Policies in this section.)

Consulting

Principles

Consulting privileges are limited to the professorial staff and there are many reasons why faculty members should engage in outside consulting work. It is desirable that they remain in close communication with the world outside the institution and especially with that part of the world concerned with their area of specialization. Consulting is a means of maintaining this liaison as well as of offering solutions to practical problems and thereby testing the soundness of theories taught in the classroom and laboratories. While consulting activities often enhance a faculty member's value to Cornell, it can result in conflicts of interest and conflicts of commitment which compromise the faculty member and the institution.

In private consulting it must be kept clear that the faculty member does not represent the university. Private consulting activities of faculty members must be viewed in relation to their overall responsibilities to Cornell, and should not become so extensive that they interfere with those responsibilities.

Policy

Full-time faculty members must inform their department chairpersons of all plans to do private consulting for which they are compensated. Unless the regular duties include consulting services to the public, each full-time professor may engage in private consulting work, provided such work, in the judgment of the department chairperson and in accordance with the principles stated above, enhances the value of the individual

to the university and does not interfere with regular university duties. Consulting work of an unusual nature may be undertaken only when approved by the dean of the faculty member's college.

The law establishing the contract colleges requires faculty members in those colleges to perform teaching, research, and extension duties. Faculty members in contract units should therefore check with their department chairpersons before consulting for a fee with New York State corporations or organizations that may be entitled to extension help without cost.

In general, faculty members in the endowed colleges may undertake paid consulting for the equivalent of one day a week during the period for which they are paid for service. Faculty members in the College of Agriculture and Life Sciences, the College of Human Ecology, and the College of Veterinary Medicine may consult for the equivalent of two days a month; those in the School of Industrial and Labor Relations may consult for the equivalent of one day a week. The time that a faculty member is allowed to consult does not accumulate from year to year. Consulting involving time beyond that allowed, or necessitating an absence from the campus longer than seven consecutive days, may be undertaken only when approved by the dean of the faculty member's school or college.

Note: Individual schools, colleges or divisions may have promulgated additional consulting rules consistent with the Cornell University Conflicts Policy. Such supplemental rules may be obtained from the individual schools, colleges or divisions.

Use of University Equipment for Private Consulting or Research

The following university guidelines were adopted by the Deans' Council on April 7, 1981:

Faculty members who have external private consulting or research arrangements which involve personal financial gain, may use university equipment for such purposes only after the approval of the department chairperson, director, or dean. Approval will be contingent on the establishment of a service charge by the unit providing the service where such a charge is appropriate. If such charges are on a continuing basis, they should be discussed with the Controller's Office.

Copyright Policy

Cornell University is committed to providing an environment that supports the research and teaching activities of its faculty, students and staff. As a matter of principle and practice, the university encourages all members of the Cornell community to publish without restriction their papers, books, and other forms of communication in order to share openly and fully their findings and knowledge with colleagues and the public. The Copyright Policy has been prepared in this spirit and with this intent, and is intended to promote and encourage excellence and innovation in scholarly research and teaching by identifying and protecting the rights of the university, its faculty, staff, and students.

Copyright ownership and the rights thereof are concepts defined by federal law. University policy is structured within the context of the federal copyright law. The long-standing academic tradition that creators of works own the copyright resulting from their research, teaching, and writing is the foundation of the university's Copyright Policy. Exceptions to this rule may result from contractual obligations, from

employment obligations, from certain uses of university facilities, or by agreement governing access to certain university resources. This Policy (available at <http://www.policy.cornell.edu/Copyright.cfm>) addresses these exceptions.

Degrees

The establishment or discontinuance of degrees conferred by the university is a responsibility of the Board of Trustees. The board acts on recommendations of the University Faculty, which, in turn, makes its recommendations with the approval of the school or college concerned. The requirements for the various degrees offered are determined by the individual school and college faculties. The University Faculty has established two universal requirements for all undergraduate degree candidates: the swim test and two semesters of physical education. New York State law mandates that curricula and course work shall be based on an average of thirty credit or semester hours for each year of full-time study.

By tradition, Cornell University does not award honorary degrees. Only two departures have been made from this practice and those occurred in the early days of the university. Honorary degrees were awarded to Andrew Dickson White, the university's first president, and to David Starr Jordan, a member of the first class and the first president of Stanford University.

Examinations and Academic Activities

Afternoon and Evening Scheduling. Certain hours shall be free from all formal undergraduate class or laboratory exercises: 4:25 p.m. to 7:30 p.m. on Monday, Tuesday, Wednesday, and Thursday; after 4:25 p.m. on Friday; after 12:05 p.m. on Saturday; and all day Sunday.

Review Sessions. Review sessions cannot be scheduled after 4:30 p.m. on any day unless an alternate session is made available for those with conflicts.

Preliminary Examinations

On *Monday and Wednesday evenings* only regularly scheduled courses, and prelims previously approved by the Office of the University Faculty are permitted. Other evening *academic* activities commencing at or after 7:30 p.m. on Mondays and Wednesdays are not allowed. Violation of these rules interferes with other university activities (athletic, musical, theatrical, employment, etc.).

Evening examinations may be given on *Tuesday and Thursday evenings after 7:30 p.m.* Large courses (over 30) may schedule evening exams only with prior permission from the Office of the University Faculty. No permission is required for examinations or make-up examinations involving small numbers of students (under 30) if given on Tuesday and Thursday.

Exceptions. Permission from the Office of the University Faculty to schedule examinations on evenings other than Tuesdays or Thursdays or at a time prior to 7:30 p.m. will be granted *only on the following conditions:*

- Conditions such as the nature of the examination, room availability, large number of conflicts, etc. justify such scheduling.
- An alternate time to take the exam must be provided for those students who have academic, extracurricular or employment conflicts at the time scheduled.

If there is a conflict between an examination listed on the schedule developed at the annual evening prelim scheduling meeting and an examination not on the schedule, the examination on the schedule shall have priority. The course not on the schedule **must** provide an alternate time to take the examination for those students faced with the conflict.

If a student has conflicting examination schedules, both of which are on the schedule developed at the annual evening prelim scheduling meeting or both of which are not on the schedule, the instructors of the courses involved must consult and agree on how to resolve the conflict. Both instructors must approach this resolution process with a willingness to provide an alternative or early examination.

Courses utilizing evening examinations should indicate this in the course description listed in "Courses of Study," "The Course and Time Roster," and "The Course and Room Roster" and must notify students of the dates of such examinations as early as possible in the semester, preferably when the course outline is distributed.

Final Examinations

The University Faculty long ago established, and has never reversed, the policy that each course should require a final examination or some equivalent exercise (for example, a term paper, project report, final critique, oral presentation, or conference) to be conducted or due during the period set aside for final examinations.

Although not specifically prohibited, it is university policy to discourage more than two examinations for a student in one twenty-four hour time period and especially on any one day. It is urged that members of the faculty consider student requests for a make-up examination, particularly if their course is the largest of the three involved and thus has the strongest likelihood of offering a makeup for other valid reasons, i.e. illness, death in the family, etc.

Legislation of the University Faculty governing study period and examinations is as follows:

1. No final examinations can be given at a time other than the time appearing on the official examination schedule promulgated by the Registrar's Office without prior written permission of the dean of the faculty.
2. No permission will be given, for any reason, to schedule final examinations during the last week of classes or the designated study period preceding final examinations.
3. Permission will be given by the dean of the faculty to reschedule examinations during the examination period itself if requested in writing by the faculty member, but only on condition that a comparable examination also be given for those students who wish to take it at the time that the examination was originally scheduled.

The faculty member requesting such a change will be responsible for making appropriate arrangements for rooms or other facilities in which to give the examination. This should be done through the Registrar's Office.

4. No tests are allowed during the last week of scheduled classes unless such tests are part of the regular week-by-week course program and are followed by an examination (or the equivalent) in the final examination period.

5. Papers may be required of students during the study period if announced sufficiently far in advance that the student did not have to spend a significant segment of the study period completing them.

6. Faculty can require students to submit papers during the week preceding the study period.

7. Take home examinations should be given to classes well before the end of the regular term and should not be required to be submitted during study period but rather well into the examination period.

Return of Exams, Papers, etc. Although there is no federal or state legislation that pertains to the manner in which graded work is to be returned to students, the returning of such materials should be handled in such a manner as will preserve the student's privacy. Students have a right to examine their corrected exams, papers, and the like, in order to be able to question their grading. They do not, however, have an absolute right to the return thereof. Exams, papers, etc., as well as grading records, should be retained for a reasonable time after the end of the semester, preferably until the end of the following term, to afford students such right of review.

Due Date for Submitting Final Grades. The due date for submitting final grades to college offices is set by each college independently but is normally within seventy-two hours of the completion of the examination. Prompt submission of final grades is essential inasmuch as a great deal of processing follows this submission.

Grades

Only the instructor of the course has the responsibility and authority to judge the quality of a student's work and assess the appropriate grade. No one can overrule instructors and require them to go against their judgment of the work. Grading must not be arbitrary or capricious or influenced by illegal discriminatory considerations. To avoid the influencing of grades by improper consideration or student pressure, a grade, once given, may only be changed if an error in the original grade is claimed by the instructor. The instructor should be willing to review the basis of an assigned grade with an inquiring student and correct the grade if an error is found. The evaluation of the quality of the student's work is solely up to the instructor, but the grade must not contain a punitive element for an offense against academic integrity if the student has been found innocent of this offense by a duly constituted board.

Grading System

In May 1965, the University Faculty adopted the Cornell University Grading System, a letter system of grading with shadings of pluses, minuses, and variations in grade-point values, as well as a system of symbols to be used in lieu of grades. The grading system

is attached as appendix 8. It is also available from the Office of the Dean of Faculty and available online at <http://web.cornell.edu/UniversityFaculty/docs/main.html>.

The S-U System. Alongside the letter-grade system stands an *S-U System*, in which *S* means satisfactory, as defined by performance that would be graded C- or higher, and *U* means unsatisfactory, as defined by performance that would be graded below C-. Grades of *S* and *U* are not given grade-point values or taken into account in computing grade-point averages. **The purpose of the S-U System is to encourage students to venture into courses outside their main areas of familiarity without great risk to their academic record.** The border between *S* and *U* is not the same, however, as that between pass and fail in the letter-grade system. Credits toward the fulfillment of graduation requirements are earned for courses evaluated *S* but not for those graded *U*. The various schools and colleges differ in the restrictions they place on the election of *S-U* grading over letter grading. But in those courses where college rules and course procedures allow it, the election is a student option that must be exercised within the first three weeks of the beginning of the term. Students may not defer the decision in the hope of first seeing the letter grade they are likely to earn.

Incomplete. The symbol of *Incomplete* is only appropriate when two basic conditions are met: (1) The student has substantial equity at a passing level in the course with respect to work completed; and (2) the student has been prevented by circumstances beyond his/her control, such as illness or family emergency, from completing all of the course requirements on time.

An *Incomplete* may not be given merely because a student fails to complete all course requirements on time. Such a practice would be open to abuse; by deferring completion of some major course requirement, a student could gain advantage over his or her classmates by obtaining additional time to do a superior job. This is not an option that may be elected at the student's own discretion.

While it is the student's responsibility to initiate a request for an *Incomplete*, reasons for requesting an *Incomplete* must be acceptable to the instructor, who establishes specific make-up requirements. **An *Incomplete* allows a specified amount of time determined by the student's college of registry, for completing course work.** The instructor has the option of setting a shorter time limit than that allowed by the student's college. Several colleges require that a statement signed by the instructor be on file indicating the reason for the *Incomplete* and the restriction, if any.

The consequences of failure to complete all course work within the time permitted will depend upon the policy of the student's college of registry. Some colleges convert the *Incomplete* symbol to a grade of *F*; others let the *Incomplete* stand on the student's transcript. In either case, the option to make up the work is lost.

It is the responsibility of the student to see that all *Incompletes* are made-up within the deadline and that the grade change has been properly recorded with the student's college registrar.

Faculty under no circumstances should give an *Incomplete* due to pressure to meet the deadline for reporting grades. The symbol *Incomplete* becomes a permanent part of the student's transcript, even when a grade is later submitted.

Late Grades. Late grades should be avoided. They often result in unwarranted academic actions or even in students not being able to graduate on time. Furthermore, late grades must be posted by hand at considerable expense and do not appear on grade slips and may prevent students from receiving recognition for academic achievement.

Changes in Grades. Each semester's work is an entity and grades are to be assigned for work completed during the normal period of the semester. Subsequent changes in grade may be made only in the event that the instructor made an error in the assignment of the original grade. As a matter of equity, grades must not be changed after the end of a semester because a student may have subsequently done additional work.

Posting of Grades. Posting of student grades by name or a personally identifiable number is prohibited under the terms of the Family Educational Rights and Privacy Act of 1974 (FERPA). However, a student waiver authorizing disclosure of educational records by means of a personally identifiable number (e.g. a student ID number) is acceptable provided that such consent is in writing, dated and signed by the student. **[NOTE: A name or social security number must never be used for this purpose.]** If instructors use this method, the waiver must be for a specific course; must be for a specified period of time (semester, academic year, etc.); must specify the records to be disclosed; and must be retained by the instructor of the course for a period of one year after its expiration. **Students should not be coerced into signing a waiver, as the law requires that it be voluntarily given. Instructors may post grades for students who do not want their student ID number used by establishing a unique identifier known only to that student and the instructor.**

Intercollege Compensation

The practice of paying extra compensation to faculty members employed regularly in one division of the university for temporary services in other divisions could, if unregulated, be abused and might easily undermine the salary structure of the university. When it is necessary, however, and under certain clearly defined conditions, the divisions of the university are permitted to pay qualified members of the faculty for specialized teaching, research, and consulting services.

Caution: An honorarium is a token payment generally paid as a means of saying "thank you" for one-time participation in a class or event. Under tax law, such payments to Cornell faculty must be processed through payroll. Honoraria generally do not exceed \$500 and these minor, token payments are not subject to the procedures defined below.

University Policy

Limited and temporary service—such as a single lecture to a scheduled class or a single meeting for consultation—rendered by a faculty member of one division to another

division is part of the normal obligation of the faculty member to the university and should therefore be rendered without compensation. The work involved should either be of clear benefit to Cornell or render significant service to the community at large. Intercollege consulting and services are subject to the normal college and university policies on outside consulting.

When an endowed college wants to engage a faculty member normally paid for full-time service in another endowed college for a formal research assignment or regular teaching assignment consisting of one or more courses in the resident teaching program for full-time students, arrangements should be made by the deans of the colleges after consulting with the faculty member. An exchange of funds or other appropriate arrangement between the colleges should be made to compensate for the services provided to one college and the loss of services to the other. The payment is not made directly to the faculty member.

Services rendered by a faculty member in one state-supported unit of the university to another state-supported unit of the university are not compensated. Such service is a normal part of the extension responsibility of the staff of the state-supported divisions.

When an endowed college or division wants to engage a faculty member who is normally paid for full-time service in a state-supported college, special arrangements must be made by the deans of the colleges involved, within the framework of policies established by the university controller, the vice president for financial affairs and chief financial officer, and the director of budget. Funds to compensate a state-supported college faculty member for instruction or consulting services should never be transferred directly from a departmental account in an endowed unit to a departmental account in a state-supported unit.

A college may pay another college or a faculty member of another college for that faculty member's services as an instructor in extension courses or special adult education programs conducted either on campus or outside Ithaca under arrangements similar to those followed by the School of Continuing Education and Summer Sessions in engaging faculty members. These arrangements require the permission of the chairperson and the dean.

Exceptions to these general rules may be necessary in special circumstances. In such instances the provost, the university controller, and the vice president for financial affairs and chief financial officer, and the deans involved work out mutually satisfactory arrangements.

Federal Policy

A unique problem arises when intrauniversity consulting fees are paid from federal funds. Federal agency approvals of the use of campus consultants are difficult to obtain and cannot be counted on. Federal policy in this area is stated in circular A-21 from the Office of Management and Budget (available at <http://whitehouse.gov/omb/circulars/a021/a021.html>). When this situation occurs, the Office of Sponsored Programs should be contacted for guidance prior to submitting a proposal to the sponsor.

"In no event will the [faculty] charge to research agreements, irrespective of the basis of computation, exceed the proportionate share of the base salary for that period, and any extra compensation above the base salary for work on government research during such period would be unallowable. This principle applies to all members of the faculty at an institution. Since intrauniversity consulting is assumed to be undertaken as a university obligation requiring no compensation in addition to full-time base salary, the principle also applies to those who function as consultants or otherwise contribute to a research agreement conducted by another faculty member of the same institution. However, in

unusual cases where consultation is across departmental lines or involves a separate or remote operation, and the work performed by the consultant is in addition to his regular departmental load, any charges for such work representing extra compensation above the base salary are allowable provided such consulting arrangement is specifically provided for in the research agreement or approved in writing by the sponsoring agency."

Procedures

All arrangements for paid intercollege services must have the prior written approval of the deans of the colleges concerned. Appointment forms with their signatures, stating the stipend and the expected extent of service, must be forwarded at least one week in advance of the assignment to the university controller and the vice president for financial affairs and chief financial officer, who consults with the vice provost for research if funds from federal sources are involved.

Funds for extra compensation ordinarily come from other than normal university sources, such as research contracts or grants. If payment is to come from federal funds, permission for such payment must either be included in the contract or grant or be agreed to in writing by the sponsoring agent. Payment of extra compensation must be through the university's payroll system.

Patent Policy

Among the consequences of the intensive research efforts of Cornell faculty and staff are new ideas and discoveries of commercial interest. Those engaged in research supported by funds from governmental agencies as well as private foundations and corporations operated for profit, make it incumbent upon the university to pursue patent rights consistent with the public interest. The Patent Policy expresses the university's policies and procedures by which inventions resulting from university research may be reduced to public usefulness and the means by which fair and equitable distribution of royalties to the inventor and the university are achieved. See <http://www.policy.cornell.edu/Patents.cfm> for the complete Patent Policy.

Photocopying for Classroom Use

The Cornell Store provides copyright clearance for both course packets sold in the store and to instructors who make photocopies to hand out in their classes. Contact The Cornell Store for fees and information or go to <http://www.store.cornell.edu/text/cpub/copyright.html> for general rules of law related to copyright and answers to frequently asked questions about photocopying.

Research Policies

Sponsorship of Research

Cornell University is one of the foremost research universities in the world. Among its present and former faculty members and students, are Pulitzer and Nobel Prize winners, members of the national academies, and winners of innumerable other national and international awards for distinguished research.

Annual Disclosure Statements of External Interests and Time Commitments

The university recognizes and encourages external activities consistent with university policy. It must, however, be cautious of situations where there is a potential conflict of interest or commitment. This obligation stems both from specific legal requirements and from the public trust vested in a university. Therefore, it is incumbent upon all faculty and staff to familiarize themselves with the Conflicts Policy (<http://web.cornell.edu/UniversityFaculty/docs/main.html>) as approved by the Board of Trustees and to complete, each year, the Annual Disclosure Statement of External Interests and Time Commitments. (See also Conflicts of Interest (and Conflicts of Commitment) in this section.)

Sponsored Research Expenditures

Research expenditures cover the costs of direct outlays for equipment; stipends and tuition for research assistants; salaries for postdoctoral associates and other members of the research staff; summer salaries and fringe benefits for faculty members; and indirect expenditures attributed to libraries, shops, buildings and other general facilities and support services necessary to the research enterprise.

Some of the grants and contracts are sought and administered by centers and other campus research organizations other than departments or colleges. These grants and contracts support the work of numerous faculty members and provide special shared facilities which would otherwise be unavailable. Nevertheless, faculty members who are active in research must expect to seek and apply for most of their own supporting funds. Those who are about to do this for the first time are advised to consult with their department heads or directors and with senior faculty members concerning the proposed projects, to benefit from their experience in selecting likely sources of support and effective approaches to follow, as well as in designing research proposals. Several of the colleges maintain research offices that assist members of their faculty to attract research funds.

The staff of the Office of Sponsored Programs offers professional assistance to faculty and staff members on current or proposed sponsored research projects. The office serves as administrative liaison with sponsors and other administrative offices of the university and as a storehouse of information about external funding opportunities and application procedures. The proposer of a research project is usually named as the principal investigator or co-investigator on the project. Research grants are made to the university and applied for in the name of the university (rather than to, and in the name of, the individual researcher), with the university's endorsement. Thus the university takes responsibility for the legitimacy of the project and the administration of funds. For this reason the approval of the Office of Sponsored Programs is necessary before a research proposal is submitted to a granting agency. Signatures of approval are also required from the relevant dean and department chairperson or director to ensure that the project's goals and source commitments are consistent with those of the relevant academic units. The Office of Sponsored Programs publishes a Guide to Proposal Preparation and Submission, copies of which are available to faculty and other interested parties. See the Office of Sponsored Programs website at <http://www.osp.cornell.edu>.

Funding and Salary Recovery

Faculty members may charge a portion of their academic year salaries directly to research grants and contracts. This situation in no way modifies the commitment of the university to tenured faculty members.

The salary and fringe benefits charged to a research grant or contract during the period (nine or twelve months per year) of a faculty member's full-time appointment do not flow to the faculty member as extra compensation, since they represent remuneration for work done during the time of the faculty member's obligation to the university. These funds may be placed in university accounts under the jurisdiction of the faculty member and expenditures therefrom used for any legitimate University purpose.

Faculty members on nine-month appointments frequently receive a summer salary charged to research grants or contracts. Since these faculty members are not otherwise obligated to the university during the summer months, such salaries are considered to be additional to the annual compensation.

Classified Research

Following is the text of Cornell University Guidelines on Sensitive and Proprietary Research, adopted by the Cornell Research Council on May 20, 1985 and subsequently updated by the Office of the Vice Provost for Research.

Guidelines on Sensitive and Proprietary Research

Given the open nature of Cornell University, research projects which do not permit the free and open publication, presentation, or discussion of results are not acceptable. Nor will the university enter into any agreements unless the principal and co-principal investigators have the final authority on what is to be published or presented. In particular, research which is confidential to the sponsor or which is classified for security purposes is not permitted at Cornell University.

The university will accept only sponsored research projects which are expected to further the research and educational mission of the institution. While a sponsor may delineate the areas of research to be supported, the principal and co-principal investigators must have final authority for decisions on the course of the research program within these limits. The principal and co-principal investigators must also have final authority regarding employment of personnel for the project. In particular, research that is subject to a sponsor's approval of personnel is not permitted at the university.

Recognizing the equity due the sponsor in the support of the research, the university will permit the principal and co-principal investigators to agree to present manuscripts to the sponsor for advice and comment thirty days prior to submission for publication. Beyond the thirty days, delays of up to two additional months are acceptable on the basis of a formal request from the sponsor. The university will put forth its best efforts to abide by agreements involving delays in publication or presentation.

While the results of all university research are open, principal and co-principal investigators may be given classified or proprietary information by a sponsor when such information would be useful background material to the research effort. Such information must be identified as such in writing when transmitted and the condition of its acceptance specified. The university will use its best efforts to prevent inadvertent

disclosure of such information, but cannot accept a legal responsibility for such disclosure.

This policy does not imply restrictions on a Cornell faculty member's doing work individually as a consultant to government agencies and other sponsors on classified matters. Such consulting arrangements will necessarily be developed on an individual basis and should, of course, be in accord with general Cornell policies on consulting (explained in this section). They cannot involve receipt and storage of classified documents on the university campus.

Freedom in Research

On May 10, 1989, the Faculty Council of Representatives (forerunner of the current Faculty Senate) adopted a resolution which endorsed the right of faculty to pursue research of their choosing, as long as that research is within the guidelines of scholarly quality, is accessible to all interested scholars and is in compliance with the laws of the land. They recognized that the research of a faculty member may be controversial from the moral, ethical, sociological or political viewpoint of others and therefore a faculty member should not be seen as implicating others in the university. Likewise, those who oppose research of a particular kind should be free to express their opposition to it.

Individual faculty members are encouraged to speak out on behalf of a fellow faculty member's academic freedom, either individually or through the Faculty Senate and its committees. Further, the provost, in response to this action, has asked the dean of faculty to provide the strongest support for faculty who are threatened or harassed, on the campus or elsewhere, because of research or other scholarly activities. Threatened or harassed faculty should seek assistance through the Dean of Faculty.

Use of University Facilities

The use of University facilities for research and other purposes is guided by the following policy, which was adopted by the Board of Trustees in 1970 and subsequently amended in 1986:

a. General

The property, facilities, and services of Cornell University are for the conduct of instruction, research, general university programs and related administrative uses. No use of university property, facilities, or services shall be permitted which interferes with the conduct of these functions or which is inconsistent with university status as a tax-exempt educational institution.

b. Registered Organizations/Nonuniversity Organizations:

Duly registered organizations, or students, faculty or employees in good standing, may use university buildings and grounds for meetings and events which are limited to members of the university community. When these registered organizations desire to use university facilities for meetings or events which are open to persons other than members of the university's faculty, staff and/or student body, they shall first obtain approval from the university administration before any arrangements are made, including the inviting of speakers, performers or other principals.

Nonuniversity organizations may use university facilities for meetings and events if they are sponsored by a recognized campus organization, they have the prior approval of the university administration, and they are consistent with the university's purposes.

c. Use by Nonuniversity Personnel of University Research Facilities:

The public policy of the state and nation now recognizes and encourages cooperation by institutions of higher education with the industrial and manufacturing sectors in the promotion of advanced study and research and the rapid dissemination of knowledge that will enhance productivity and contribute to the economic development of the state and nation. In furtherance of this policy, Cornell is taking steps, utilizing its research centers and other means to forge an interdisciplinary partnership between the university, industry and government. This statement amends and clarifies university policy as it relates to use of university research facilities by non-Cornell personnel.

University research facilities exist primarily to further free and open inquiry by Cornell faculty, students and staff. Other uses are of secondary importance. In general, non-Cornell personnel using university facilities are expected to abide by the same policies as university personnel. Proprietary use of university facilities by such people is therefore not usually permitted. In exceptional cases where the best interests of the university and the other parties would be served by use of university facilities by outside persons for proprietary or confidential purposes, the vice president for research may grant permission by petition after consultation with the vice president for administration and university counsel respectively regarding financial and legal implications. Any such use should be conditioned upon the execution of an agreement by the user which will protect the financial and legal interests of the university. Approval of such petitions shall be regularly reported to the Faculty Council of Representatives' Committee on Research Policies by the Vice President for Research. In considering such requests, the vice president will apply the following criteria:

- i) Such use must support the educational and research mission of the university.
- ii) There must be a clear need to carry out the proposed work at Cornell.
- iii) A proposal or abstract describing in general terms the purpose of the proprietary work to be done must be submitted for review through the normal channels for use of the facility, e.g. a local review committee. The proposal should be judged for merit and appropriateness for the facility in question, on the same grounds as nonproprietary work. If the proposal is passed, it becomes part of the public record in the facility. That is, the existence of proprietary use of a Cornell facility may not be kept secret.
- iv) All details of the proprietary work to be done (including confidential information) that are relevant to the safety of personnel or of the facility must be made available and approved by the university officer in charge of the facility (e.g. the laboratory director) prior to final approval of the project. The university officer will assure that the proposed work conforms to usual safe operating procedures but will not divulge technical aspects of the work which are confidential.
- v) Involvement of University Faculty, students or staff in the proprietary work is limited to the normal facility support services provided for all users.
- vi) There will be no difference in the operating personnel or procedures of the facility for proprietary or nonproprietary work. There will be no special security precautions, no special access restrictions, no personnel clearance requirements. Users of university facilities for proprietary work will have to accept this risk of disclosure.

vii) The organization performing the proprietary work must pay Cornell appropriate costs of the use of the facility.

viii) Only a small fraction (usually not more than ten percent) of the use of the facility shall be devoted to proprietary purposes.

Research Involving Biohazardous Materials

Federal and state regulations specify compliance of all activities involving biohazardous materials and the facilities used to conduct such work. The university is required to maintain a monitoring committee that inspects facilities, gives initial reviews of proposed experiments, and provides assurance to granting agencies that the regulations and guidelines will be followed. The Institutional Biological Safety Committee was established for this purpose, and all work involving hazardous materials must be reviewed by it for procedural guidance before submitting proposals to granting agencies. The Department of Environmental Health and Safety (EH&S) and the Office of Sponsored Programs (OSP) provide the necessary staff and administrative assistance for the committee. EH&S provides technical expertise and advice as necessary.

Research Involving Human Subjects

A specific Cornell policy applies to all research and teaching that uses human beings as subjects. The policy is designed to safeguard the health and rights of the subjects, but it also supplies protection to the Cornell investigators. Information on human subjects research may be obtained on the University Committee on Human Subjects web pages at <http://www.osp.cornell.edu/Compliance/UCHS.html>.

The policy requires that all experimentation with human subjects be under the supervision of a Cornell faculty member who has primary responsibility for the well-being of the subject. The faculty member is required to give explicit consideration to all possible hazards in developing plans for any use of human subjects. Any faculty member who is using human subjects in research is required to submit his or her proposed project to the University Committee on Human Subjects (UCHS) for review. The committee normally appoints an *ad hoc* subcommittee to consider the acceptability of each proposal, and the committee as a whole then makes a decision on the adequacy of the proposal's safeguards on the use of human subjects.

This policy applies to all human-subject research, whether funded or not, and is part of a Cornell institutional assurance of compliance submitted to and accepted by the United States Department of Health and Human Services.

Data Collection Through Surveys and Questionnaires

Concern for the protection of the rights of privacy and a respect for human dignity are essential considerations in programs of data collection through surveys and questionnaires.

1. Questionnaires and surveys directed toward employees must be approved in advance by the vice president for Human Resources.

2. Questionnaires and surveys directed toward members of the University Faculty must be approved in advance by the dean of the University Faculty.
3. Questionnaires and surveys to which students will be asked to respond must be approved in advance by the Dean of Students' Office.

If the intent of the above activity is for research, approval from the University Committee on Human Subjects is also required.

These requirements apply whether the survey is conducted by students as a course assignment, by a student or a member of the faculty in the pursuit of research, by assemblies, or by any other person or agency, and whether the survey is conducted by mail, telephone, or any other medium.

Recent Federal Regulations Pertaining to the Use of Human Subjects in Research

Announcements on important changes in federal policy affecting research involving human subjects as well as the NIH requirement for education and training in the use of humans as research subjects may be found online at <http://www.osp.cornell.edu/Compliance/UCHS.html>.

Use of Research Animals

The Center for Research Animal Resources (CRAR) group is responsible for the well-being of animals and compliance with federal and state animal welfare laws at Cornell University.

The center is charged with the responsibility of implementing animal care programs throughout the university to assure compliance with all state and federal laws regarding the use of animals for teaching, research and testing.

CRAR offers instructional sessions to faculty, students, research technicians, and animal care technicians introducing the participants to the ethics of using animals for research, the occupational health program for animal handlers, relevant federal and state regulations, and proper handling and restraint of common laboratory animals, as well as approved methods of euthanasia, available veterinary services, and the proper channels for reporting discrepancies in animal care.

The Institutional Animal Care and Use Committee (IACUC) reviews projects involving animals used for research, demonstration, and teaching at Cornell University.

The IACUC reviews and approves, requires modifications in (to secure approval), or withholds approval of those activities related to the care and use of animals as set forth in the Public Health Service Policy. It notifies investigators and the institution in writing of the committee's decisions to approve, withhold approval or require modifications required to secure IACUC approval as set forth in the PHS Policy. In addition, the IACUC conducts continuing reviews of previously approved, ongoing activities on an annual basis, including a complete review at least once every three years.

Further information can be found at <http://web.vet.cornell.edu/crar/>.

Tutoring

No member of the instructional staff, including assistants, may engage, for profit or gain, in tutoring a student in a university course taught by himself or herself or by colleagues in the same department. University buildings or equipment are not to be used by any member of the instructional staff for tutoring for profit.

Students seeking tutoring should contact the Learning Strategies Center, www.sas.cornell.edu/CLT/campus/learn/learn.html.

