

GRADUATE STUDENT HANDBOOK

SCHOOL OF GRADUATE STUDIES

2011 - 2012



SCHOOL OF
GRADUATE STUDIES

CASE WESTERN RESERVE
UNIVERSITY

FOREWORD

This handbook should not be construed as the basis of an offer or contract between the University and any present or prospective student. The University and the School of Graduate Studies has the right to amend, add or delete any information in this handbook. Announcements of such changes are made on a routine basis within the University and the School of Graduate Studies.



WELCOME



SCHOOL OF
GRADUATE STUDIES
CASE WESTERN RESERVE
UNIVERSITY

School of Graduate Studies
Case Western Reserve University
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Dear Graduate Student:

Welcome to Case Western Reserve University! We are pleased that you have chosen CWRU to pursue your graduate studies. This Graduate Student Handbook is intended to provide both academic and non-academic information that is of importance and interest to graduate students. In addition to this handbook, please refer to the School of Graduate Studies website <http://gradstudies.case.edu> for the most comprehensive and up to date information.

The learning environment at CWRU is enriched by the diversity of the students, faculty, and staff as well as the surrounding community. CWRU is located in University Circle which boasts a concentration of nearly 50 cultural, medical educational, social service, and religious institutions. This community includes Severance Hall, home of the world-famous Cleveland Orchestra; the Cleveland Museum of Art; the Cleveland Institute of Art; the Cleveland Institute of Music; University Hospitals of Cleveland; the Cleveland Botanical Gardens and many others within walking distance of the university.

The opportunity you have to engage in research, to teach and to learn will be both exciting and challenging. We hope that you will pursue the many opportunities to become involved in all that CWRU and the larger community has to offer.

Again, welcome to Case.

Sincerely,

Handwritten signature of Charles E. Rozek in black ink.

Charles E. Rozek, Ph.D.
Vice Provost and Dean,
School of Graduate Studies

Handwritten signature of Denise M. Douglas in black ink.

Denise M. Douglas, Ph.D.
Senior Associate Dean,
School of Graduate Studies

STATEMENT OF ETHICS

Universities seek to preserve, disseminate, and advance knowledge. At Case, as elsewhere, we recognize that to fulfill these purposes requires a norm of expected conduct shared by all in the University community, governed by truthfulness, openness to new ideas, and consideration for the individual rights of others, including the right to hold and express opinions different from our own.

The University's mission rests on the premise of intellectual honesty in the classroom, the laboratory, the office, and the solitary examination desk. Without a prevailing ethic of honor and integrity not only in scientific pursuits but also in all scholarly activity, the very search for knowledge is impaired. In these respects, each of us—especially but not exclusively faculty — must regard ourselves as mentors for others.

These principles we strive to uphold make it possible for the larger society to place trust in the degrees we confer, the research we produce, the scholarship we represent and disseminate, and the critical assessments we make of the performance of students and faculty, as well as judgments of staff and administrators.

To safeguard the standards on which we all depend, each of us must, therefore, accept individual responsibility for our behavior and our work and refrain from taking credit for the work of others.

The culture of a university also requires that the rights of all be protected, particularly by those entrusted with authority for judgment of the work of others.

The University being a human community is subject to human failings, ambiguities, and errors. It is, therefore, the responsibility of the bodies regulating the affairs of faculty, students, and staff to maintain processes for judging and resolving instances where these principles may have been violated. However, all such systems depend for their effectiveness, in turn, on the acceptance of common norms of conduct—the ties of trust which bind the university community together.

SCHOOL OF GRADUATE STUDIES

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<http://gss.case.edu>

EMERGENCY AND SERVICE TELEPHONE NUMBERS

From on-campus telephones, dial 9 before dialing any of the numbers below.

EMERGENCY NUMBERS

Protective Services.....	368-3333
Non-emergencies.....	368-4630
University Circle Police.....	368-2222
From off-campus.....	791-2444
University Health Service.....	368-2450

COMMUNITY RESOURCES (24 HOURS)

Domestic Violence Hotline.....	391-4357
Mental Health Emergency Hotline (suicide, etc.).....	623-6888
Poison Control Center (drug overdoses, etc.).....	231-4455
Rape Crisis Center.....	619-6192

CITY OF CLEVELAND

Police Emergency.....	911
Police Non-Emergency.....	621-1234
Fire Department.....	911
Ambulance.....	911

SERVICE NUMBERS

Information.....	368-2000
Car Emergency.....	368-3228
Telephone Repair.....	368-2111

MEDICAL EMERGENCY

If you need an ambulance, call University Security.....	368-3333
If you need help in evaluating your symptoms, call Cleveland Clinic Advice Nurse (7 a.m. to 11 p.m.).....	444-1234
Metro Health Medical Center Health Information Line (7 a.m. to 11 p.m.).....	778-7878
University Health Service.....	368-2450

MENTAL HEALTH/EMOTIONAL CRISIS

During normal business hours, call University Counseling Service in 201 Sears Building.....	368-5872
After hours and on weekends, call and request the answering service to page the "counselor on call" for University Counseling Service.....	844-8892
University Health Service.....	368-2510

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School of Graduate Studies Commonly Used Forms,
Planned Program of Study Instructions and Resources
for Resolving Academic and other Concerns



SCHOOL OF GRADUATE STUDIES

The School of Graduate Studies (SGS) is the unit through which Case Western Reserve University offers graduate programs in the humanities and social sciences, biological and physical sciences, engineering, and selected disciplines related to professional fields. These programs lead to the degrees of Master of Arts, Master of Arts (theater and dance), Master of Science, Master of Public Health, Master of Engineering and Management, Master of Engineering, Doctor of Musical Arts, and Doctor of Philosophy. Several programs offered jointly with the professional schools and local affiliated institutions lead to dual degrees such as M.A./J.D., M.A./Ph.D., M.A./M.D., M.A./J.D., M.A./M.S.N., M.S./M.D., M.S.S.A./Ph.D., Ph.D./M.P.H., J.D./M.P.H., M.S.N./M.P.H., M.B.A./M.P.H., M.D./M.P.H., M.P.H./M.A., and M.D./Ph.D. There are also two combined undergraduate and graduate programs, IGS (Integrated Graduate Studies) and B.S./M.S., which allows undergraduate students to enter graduate study before they complete their undergraduate programs. The School of Graduate Studies, overseeing university-wide standards of quality in admission and performance, presently awards graduate degrees in 70 basic disciplines with Ph.D. programs and 15 others in which the highest degree is the M.A., M.F.A., or M.S.

<http://gradstudies.case.edu>

ADMINISTRATION OF THE SCHOOL

Charles E. Rozek (Wayne State University)
Vice Provost and Dean of Graduate Studies

Denise M. Douglas (University of Minnesota)
Senior Associate Dean of Graduate Studies

GRADUATE COMMITTEE

General responsibility for overseeing postdoctoral affairs, programs of graduate study and for academic and other general regulations applicable to all graduate students and programs is delegated to the University Faculty Senate Committee on Graduate Studies. Each department, school, or interdisciplinary committee is responsible for its particular graduate programs within the framework of the general regulations. The Committee on Graduate Studies consists of the Dean of Graduate Studies, Associate Dean of Graduate Studies, nine faculty members elected by the University Faculty Senate one appointed postdoc, and four graduate students—three elected by the Graduate Student Senate and one appointed from the professional schools.

GRADUATE STUDENT SENATE

Students in the School of Graduate Studies are represented by a Graduate Student Senate, which consists of one student elected from each department that offers graduate programs. The officers of the senate are elected by the graduate student senators, who also select graduate student representatives to the University Faculty Senate and various campus committees.

<http://gss.case.edu>

FINANCIAL INFORMATION

For financial aid information see the "Financial Information" section of the Case General Bulletin or visit

<http://financialaid.case.edu>

ADMISSION STATUS

Full Standing

To be admitted to full standing the applicant must meet all the admissions criteria without conditions or academic provisions.

- Applicants must have a good academic record, e.g., a B average or rank in the upper third of his or her graduating class at an institution whose status and programs are readily assessed.
- Applicant will be expected to meet essentially all of the undergraduate prerequisites for the proposed field of graduate study.
- In addition to evidence of admissibility from transcripts, grade records, letters of recommendation and TOEFL test (English proficiency test for international students only), certain departments require that the applicant submit satisfactory scores on the Graduate Record Examination, the Miller Analogies Test, or the Graduate Management Admission Test.
- Ordinarily a bachelor's degree is required for unconditional admission to the graduate school. Under some circumstances, an admissions committee may recommend admission to the School of Graduate Studies on the basis of an equivalent experience. In this case, final approval for admission by the Dean of Graduate Studies is required.

Provisional Standing

Applicants who have academic deficiencies and do not qualify for admission with full standing are occasionally admitted provisionally.

- A student may give evidence of ability in his or her chosen field that is sufficiently convincing to warrant provisional admission, but the quantity or quality of the student's preparation may be difficult to determine with sufficient certainty for admission in full standing.
- Provisions will be specified by the department to which the student is admitted, and stated in the official letter of admission from the Dean of Graduate Studies.
- A provisional graduate student is expected to complete appropriate course work and to meet the performance standards of the School of Graduate

Studies within the first academic year of study.

- Although the provisional student's record will be reviewed each semester, the student's status will be reconsidered by the department no later than at the end of two semesters of study. At that time, if the student has satisfied the provisions associated with his or her admission in the judgment of the department and the Dean of Graduate Studies, the student will be given full standing; otherwise, he or she will be separated from further graduate study in that department.

Conditional Standing

Applicants who have missing documentation in their admissions file (such as an official academic transcript with degree posted or official copies of test scores). The condition(s) specified in the letter of acceptance must be satisfied prior to matriculation in the School of Graduate Studies.

Postponement of Matriculation

Applicants are guaranteed admission only for the term specified in the letter of admission. An applicant who is unable to enroll in the semester for which he or she was initially admitted may request to postpone matriculation up to two regular academic semesters. In such cases, the department to which the applicant has applied may accept or reject the applicant's request, and the terms of readmission may differ from the original offer. If a delay of more than two semesters is requested, the applicant's file must be reviewed and reevaluated by the department. If more than two years elapse since acceptance, the applicant must reapply in the same manner as a new applicant. Because applicant files are only kept for a maximum of two years, all documentation will have to be resubmitted.

Non-Degree Students

Individuals with earned bachelor's degrees that want to enroll in classes for personal enrichment or to satisfy prerequisite course requirements for later admission to graduate programs may enroll as non-degree students through the School of Graduate Studies. A student who wishes to register as a non-degree student should request the appropriate **application form** from the School of Graduate Studies and submit evidence that a bachelor's degree has been earned.

SCHOOL OF GRADUATE STUDIES

- Students may enroll in undergraduate and graduate level courses. Continuation in non-degree status is at the discretion of the Dean of Graduate Studies.
- Applicants who are interested in transferring course work into graduate degree programs are encouraged to seek early advice from the departments to which they intend to apply to insure that courses taken as non-degree students will satisfy departmental requirements.
- Non-degree students cannot assume that they will be admitted to any graduate degree program, or that all course work taken will transfer into the program.
- Only 400 level and higher course work will be considered for graduate transfer. The term of the earliest approved, transferred course will establish the date of entrance into the degree program.
- Courses transferred from non-degree status must have been taken within five years of the first term of matriculation as a degree seeking student and passed with a grade of B or better.
- Students considering transfer into a degree program will need to meet a minimum matriculation requirement of two semesters and six semester hours of course work.
- Non-degree students are not permitted to enroll in more than 21 hours of coursework in one program. In order to continue taking courses in that program, the student must be accepted into the graduate degree program.

PLANNED PROGRAM OF STUDY

An official Planned Program of Study is required for each graduate student. The Planned Program of Study which consists of the courses and other requirements for the M.A., M.F.A., M.S., M.E., M.P.H., D.M.A., or Ph.D. degrees should be established in consultation with the major faculty Advisor or advisory committee. After consultation with the major faculty advisor, the student should submit their PPOS via the Student Information System (SIS) for advisor and School of Graduate Studies approval. A revised program of study must also be submitted via the SIS when any change in the original plan occurs. For graduate engineering students, additional details regarding degree program requirements are given in the engineering section of the Bulletin. The various departments and schools may make such additional regulations concerning

programs of study as may be necessary to reach particular academic goals. These regulations must be in writing, with a copy filed in the School of Graduate Studies.

THE ACADEMIC ADVISOR

Each graduate student will have a faculty advisor or advisory committee assigned by the department or professional school to assist the student in planning the program of study best designed to enable the student to reach appropriate educational objectives.

ACADEMIC REQUIREMENTS FOR MASTER'S DEGREES

In recognition that the objectives of master's degrees differ for various departments and for individual students, especially in the importance given to research, two general plans for master's degrees may be followed:

Plan A

M.A. or M.S. with a thesis based on individual research and a final oral examination.

Plan B

M.A., M.F.A., M.P.H., or M.S. without a thesis but requiring a comprehensive examination and/or a major project to be administered by the academic unit.

The Master's Thesis (Plan A)

The minimum requirements for the master's degree under Plan A are 18 semester hours of course work plus a thesis equivalent to at least 9 semester hours of registration, or 21 semester hours of course work plus a thesis equivalent to at least 6 semester hours of registration. Once registered for thesis credit (Course 651), a student must continue 651 registration each succeeding regular semester until graduation. However, if a student is registered for course work or research toward the doctorate in the semester in which the thesis examination is expected to occur, concurrent registration for 651 is not required. At least 18 semester hours of course work, not including thesis, must be at the 400 level or higher.

Each student must prepare an individual thesis. Joint theses are not permitted. The thesis must conform to regulations concerning format, quality, and time of submission as established by the Dean of Graduate Studies. **Detailed instructions** can be obtained from the

SCHOOL OF GRADUATE STUDIES

School of Graduate Studies.

For completion of master's degrees under Plan A, an oral examination (defense) of the master's thesis is required. This examination is conducted by a committee of at least three members of the University faculty and the candidate's thesis Advisor customarily serves as the chair of the examining committee. The other members of the committee are appointed by the chair of the department or curricular program faculty supervising the candidate's course of study. The examining committee must agree unanimously that the candidate has passed the thesis examination. Because theses are made public immediately upon acceptance, they should not contain proprietary or classified material. When the research relates to proprietary material, the student and Advisor are responsible for making preliminary disclosures to the sponsor sufficiently in advance to permit timely release of the thesis, and these plans should be disclosed when the thesis is submitted to the School of Graduate Studies.

The Master's Comprehensive (Plan B)

The minimum requirements for the master's degree under Plan B are 27 semester hours of course work, a comprehensive examination, and in some fields, an approved project. At least 18 semester hours of course work must be at the 400 level or higher.

Each candidate for the master's degree under Plan B must pass satisfactorily a comprehensive examination to be administered by the department or curricular program committee. The examination may be written or oral or both. A student must be registered during the semester in which any part of the comprehensive examination is taken. If not registered for other courses, the student will be required to register for one semester hour of EXAM 600, Comprehensive Examination, before taking the examination.

Engineering students are required to complete 3 to 6 semester hours of Special Problems (Project) course work, which must consist of an engineering project approved by the chair of the department offering the degree program, and may be carried out at the student's place of employment with nominal supervision by a faculty Advisor or in the departmental laboratories under direct supervision. The project must culminate in a written report and examination by at least three professors including approval by the chair of the department.

Performance evaluation for course 601 (Independent study/Research) is limited to P/NP grading.

Theater students in the M.F.A. program are required to register for six semester hours of Thesis Production (creative project), followed by an oral and written defense.

ACADEMIC REQUIREMENTS FOR DOCTORAL DEGREES

The degree of Doctor of Philosophy is awarded in recognition of in-depth knowledge in a major field and comprehensive understanding of related subjects together with a demonstration of ability to perform independent investigation and to communicate the results of such investigation in an acceptable dissertation.

Curricular Requirements

Within the framework of these general regulations, it is expected that a relevant program of study will be planned for each candidate for the doctorate by the student and the faculty Advisor or advisory committee. Such a program should include appropriate courses, together with work on the doctoral dissertation, and may also include, where relevant, such experiences as field work or practicum.

- Although specific requirements vary among departments, students entering with a bachelor's degree will satisfactorily complete a minimum of 36 semester hours of courses (which may include independent study/research, course 601), tutorials, and seminars. For students entering with an approved master's degree, completion of at least 18 semester hours of course work is required.
- A minimum of 18 semester hours of dissertation research (Course 701) is required for all doctoral students.

Examination Requirements

In order to meet the requirements for the doctorate, a student must pass satisfactorily a general examination (or a series of examinations covering different fields) specified and administered by the student's department or supervising committee. The examination generally precedes advancement to candidacy. A student must be registered during the semester in which any part of the general or qualifying examination is taken. If not registered for other courses, the student will be required to register for one semester hour of EXAM 700, General/Qualifying

Examination, before taking the examination. A student who fails the examination on the first attempt may be permitted to take the examination a second time within one year at the discretion of the department. Except in unusual circumstances, a student who fails the examination a second time will be separated from further graduate study within the same department or program.

Advancement to Candidacy

The formal acceptance of a student as a candidate for the doctoral degree is the responsibility of the student's department or the committee supervising the doctoral program in accordance with the written procedures of the academic unit. At its discretion the supervising unit may require a student to pass qualifying examinations before candidacy is granted. Generally, advancement to candidacy allows the student to enter the dissertation research phase of the degree program, and occurs after all course work and exam requirements are satisfied. Students are expected to make regular and continuous progress toward the degree.

- Advancement to candidacy in a Ph.D. program should occur within a maximum of 6 years post-matriculation with a bachelor's degree (no later than at the completion of 36 semester hours of graduate study) and 4 years post-matriculation with a master's degree (no later than at the completion of 18 semester hours of graduate study).
- Students may continue in pre-candidacy status beyond this time by means of a petition to the School of Graduate Studies by a program director, based on evidence of student progress toward the degree. Individual programs can require advancement to candidacy before the time limit set in this policy.
- The Dean of Graduate Studies must promptly be notified in writing of the decision concerning a student's advancement to candidacy, and a copy of the notification must be sent to the student concerned.
- A student who is refused candidacy status may not undertake further study for credit toward the doctoral degree within the same department or supervising unit. With the approval of both the department concerned and the Dean of Graduate Studies, such a student may:

1. Take additional courses, if required, in order to complete an approved master's degree in that department.
2. Seek admission to the graduate program of another department.

Course 701 Requirements Pre- and Post-Candidacy Dissertation Research

When a student has been advanced to candidacy, he or she may begin dissertation research by formally registering for course 701 credits. At the point at which students begin registering for course 701, the department must identify a university faculty member who will serve as the doctoral student's principal research advisor, and formally notify the Dean of Graduate Studies.

- Students who have been advanced to candidacy may register for 1-9 credits of course 701 each fall and spring semester (or up to 6 credits for the summer when needed).
- In certain cases, students who have not advanced to candidacy may begin registering for up to 6 credit hours of course 701 at the discretion of the department and upon written notification to the Dean of Graduate Studies.
- Pre-Candidacy 701 hours may be taken concurrently with coursework.
- Once a student begins registration of 701 hours, he or she must register for at least one credit hour of 701 each semester until graduation. Once 701 registration begins **doctoral students have five consecutive calendar years from the semester of the first credited 701 registration, including leaves of absence, to complete all requirements for the doctorate.**

Foreign Language Requirements

Although there is no general foreign language requirement for the doctorate, each department or supervising committee may set such requirements as are appropriate to the student's program of study. It is the student's responsibility to ascertain the foreign language requirements approved by the supervising unit. Each department must notify the Dean of Graduate Studies in writing of the specific language(s) required and the date of examination determining the student's proficiency in the required language(s).

Dissertation Requirements

All candidates for the Ph.D. degree must submit an electronic dissertation as evidence of their ability to conduct independent research at an advanced level. The dissertation must represent a significant contribution to existing knowledge in the student's field, and at least a portion of the content must be suitable for publication in a reputable professional journal or as a book or monograph. Students must prepare their own dissertations. Joint dissertations are not permitted. The dissertation must conform to regulations concerning format, quality, and time of submission as established by the Dean of Graduate Studies. Detailed **instructions** on submitting an electronic version of your dissertation can be obtained from the School of Graduate Studies **website**.

Research work connected with a dissertation is to be carried out under the direct supervision of a member of the university faculty selected by the student in consultation with departmental faculty and approved by the chair of the department.

Dissertation Advisory Committee

- Each doctoral student is responsible for becoming sufficiently familiar with the research interests of the department or program faculty to choose in a timely manner a faculty member who will serve as the student's research Advisor. The research Advisor is expected to provide mentorship in research conception, methods, performance and ethics, as well as focus on development of the student's professional communication skills, building professional contacts in the field, and fostering the professional behavior standard of the field and research in general.
- The research Advisor also assists with the selection of at least two other faculty to serve as members of the dissertation advisory committee. At a minimum, the dissertation defense committee must consist of a minimum of four members of the university faculty, including at least one whose primary appointment is outside the student's program, department or school.
- The committee is appointed by the Dean of Graduate Studies upon recommendation of the Chair of the department, division, or curricular program committee.

- The student's dissertation Advisor must be a member of the dissertation advisory committee and may serve as chair. The chair of the committee must be a Case Western Reserve University tenured or tenure-track faculty member in the student's program. Any tenured or tenure-track Case faculty member, and any full-time Case faculty member whose primary duties include research who is authorized to serve on a Ph.D. dissertation committee by the school or college through which they are affiliated with the university, may serve on a Ph.D. dissertation committee.
- Any appropriate outside researcher may serve on a Ph.D. committee upon approval by the Dean of Graduate Studies. A petition with the rationale for the request must be presented to the Dean along with the proposed member's curriculum vitae.
- Under special conditions, a former faculty member whose time of leaving the university has not exceeded 18 months may be approved as a voting university member by the Dean of Graduate Studies.

Throughout the development and completion of the dissertation, members of the dissertation defense committee are expected to provide constructive criticism and helpful ideas generated by the research problem from the viewpoint of their particular expertise. Each member will make an assessment of the originality of the dissertation, its value, the contribution it makes, and the clarity, with which concepts are communicated, especially to a person outside the field. The doctoral student is expected to arrange meetings and maintain periodic contact with each committee member. A meeting of the full committee for the purpose of assessing the student's progress should occur at least once a year until the completion of the dissertation.

Final Oral Examination (Defense of Dissertation)

Each doctoral candidate is required to pass a final oral examination in defense of the dissertation. The examination may also include an inquiry into the candidate's competence in the major and related fields.

- The defense must be scheduled with the School of Graduate Studies **no later than three weeks before the date of the examination**.
- The chair of the examining committee should give approval to schedule the defense when the written dissertation is ready for public scrutiny.

- The candidate must provide to each member of the committee a copy of the completed dissertation at least 10 days before the examination so that the committee members have an opportunity to read and discuss it in advance.
- Scheduled defenses are made known through on-campus publication, and any member of the university may be present at that portion of the examination pre-designated as public by the chair of the dissertation defense committee. Others may be present at the formal defense only by invitation of that chair.

It is expected that all members of the dissertation defense committee be present at the defense. Exceptions to this rule: a) must be approved by petition to the Dean of Graduate Studies and only under extraordinary circumstances, b) no more than one voting member can ever be absent, c) the absent member must participate through real-time video conferencing at departmental expense; however, if such video conferencing is not available, the absent member may participate through telephone conferencing; and d) the student must always be physically present.

The dissertation defense committee is responsible for certifying that the quality and suitability of the material presented in the dissertation meet acceptable scholarly standards. A student will be certified as passing the final oral examination if no more than one of the voting members of the committee dissents.

Institutional Review Board (IRB)

The promotion of scholarship and the discovery of new knowledge through research are among the major functions of Case Western Reserve University. If this research is to be meaningful and beneficial to humanity, involvement of human subjects as experimental participants is necessary. It is imperative that investigators in all disciplines strive to protect human subjects. University policy and federal regulations demand compliance. Per federal regulations (45 CFR 46), all research involving human subjects requires submission of an IRB application prior to initiation of research to the Case Western Reserve University IRB. **THIS INCLUDES ALL RESEARCH CONDUCTED FOR THESES AND DISSERTATIONS THAT INVOLVE HUMAN SUBJECTS.**

Each IRB application must have a faculty member noted as the Responsible Investigator. Applications that are not

fully completed as instructed will not be accepted. See **University Policy on the involvement of Human Participants in Research** for guidelines under which investigations involving human subjects may be pursued.

COURSE DESIGNATIONS

Courses numbered 100 to 399 are undergraduate-level courses. Courses numbered 400 and higher are graduate-level courses.

GRADING SYSTEM

See the "University" section of the General Bulletin for a list of valid grades for the School of Graduate Studies and their appropriate use in graduate coursework. The only grades that can be changed after they have been assigned by the instructor are Incompletes (I). All others will remain permanently on the student's academic record. Additional work cannot be done to change an existing grade to a higher grade.

There are some grading schemes in the School of Graduate Studies that have important policy implications. They are:

Incomplete (I)

- Grades of I should only be assigned for letter graded and Pass/No Pass courses for extenuating circumstances, and only when a student fails to complete a small segment of the course.
- Students may not sit in the same course in a later semester to complete the work required for the original course.
- All work for the incomplete grade must be made up, and the change of grade recorded in the Office of the University Registrar, by the date specified by the Instructor, but no later than the last day of class in the semester following the one in which the I was received.
- Grade changes received after that date must be accompanied by a petition signed by both the advisor and the chair of the department indicating the reason for the late change and must be approved by the Deputy Provost.
- Unresolved Incomplete grades will remain permanently on the student's academic record, if the work is not made up by the designated deadline.

SCHOOL OF GRADUATE STUDIES

- A student who has a permanent Incomplete for a required course must retake the course in a later term.
- When an I grade is assigned by the instructor, he or she must also submit to the School of Graduate Studies the completed “**Arrangement to Resolve a Grade of Incomplete**” form indicating the date that the I grade will be resolved.
- If the student cannot complete the work for the Incomplete by the specified deadline, he or she must petition for an extension which must be endorsed by the instructor, and explain the reasons why the work has not been completed, and include a new date for completion.
- Students will be allowed only one extension of no more than one additional semester to complete the work for an I grade.

Pass/No Pass (P/NP)

Some graduate courses are graded on a pass or no pass basis, and students need to be aware of the regulations governing letter graded and pass/no pass credits.

- Of the minimum credit hours required beyond the bachelor’s degree to complete course work requirements, at least 12 credits must be letter graded for the Master’s degree
- At least 24 credits must be letter graded for the Ph.D. degree.
- For students with approved master’s degrees who are admitted to Ph.D. programs, at least 12 credits of the required minimum of 18 credits of course work must be letter graded.
- Letter graded courses should be the courses most central to the student’s plan of study. Additional credit hours of letter graded course work may be specified by departmental policy.
- Performance evaluation for course 601 (Independent study/Research) is limited to P/NP grading.

Satisfactory/Unsatisfactory (S/U)

Grades of Satisfactory (S) and Unsatisfactory (U) are to be used exclusively for two courses: 651 thesis research; and 701, dissertation research. Satisfactory indicates an acceptable level of progress towards completion of the research required for the degree, and Unsatisfactory

indicates an unacceptable level of progress towards completion of the research for the degree.

- Any student who receives a grade of U will automatically be put on academic probation, and if a second U is received, the student will be separated from further study in his or her degree program.

ACADEMIC POLICIES

Fellowship Tuition Policy for Graduate Students

The purpose of this policy is to allow students pursuing graduate degrees to take courses beyond their degree requirements without additional financial burden to the student and little or no cost to the University. Such courses, referred to as “fellowship” courses, can broaden the educational experience of graduate students by allowing them to pursue studies according to their own intellectual needs.

- 1) A student pursuing a graduate degree shall be charged tuition at the standard hourly rate for all of the credit hours which are intended to count toward the degree. In any semester for which students are registered for a minimum number (as determined by the school) of credits that will be applied toward the degree, fellowship courses will not incur a tuition charge.
- 2) In order to enroll in a fellowship course, the student must be in good standing, meet course prerequisites, and obtain consent of instructor. In addition, the student must obtain permission from his/her advisor and the School of Graduate Studies. Up to eight fellowship courses may be permitted in aggregate.
- 3) Thesis research (651 and 701) and similar courses cannot be taken as fellowship courses and prior rules for 701 are not changed by this policy.
- 4) Fellowship courses can not be audited. The grade that a student receives in the course will count in the cumulative GPA, but will not count towards the degree program GPA.
- 5) Fellowship courses can not be used toward a degree program at Case Western Reserve University.
- 6) Notwithstanding any of the foregoing provisions and policies, the rules, regulations, and terms of tuition and credit enrollments for each school shall remain in full force and effect.

Guidelines for Multidisciplinary Graduate and Graduate Professional Studies at Case Western Reserve University

I. Purposes

Multidisciplinary studies have as their goal the education of individuals who can make contributions to academic disciplines or professional endeavors that would be less likely to be accomplished by individuals with a background in a single discipline. Departments or faculty members may design a **joint degree** program, which will generally result in two degrees, or a **multidisciplinary degree**, which will generally result in a single degree which has a broader perspective than similar existing degrees. Such programs should meet challenges of new interdisciplinary knowledge and/or developments requiring new combinations of talent. In addition, such programs or degrees should enhance and not duplicate existing programs in the University. Individual students with specific multidisciplinary interests that desire to pursue them at Case Western Reserve University and faculty members who wish to run pilots for joint degree programs or multidisciplinary degrees are encouraged to do so, even if no official joint or multidisciplinary degree program currently exists by organizing an **individual joint degree** or an **individual multidisciplinary degree**. Such degrees require faculty and departmental support. Guidance for the design and approval of both such programs and such individual degrees can be found at <http://gradstudies/faculty/guidelines/multidisciplinary.html>.

Graduate Student Rights and Responsibilities

It is the responsibility of the student to become familiar with the general rules and regulations of the University not just those of the School of Graduate Studies. A member of the University community who is accused of violating any of these rules and regulations is subject to University disciplinary action. Due process procedures of adequate notice of all charges and a fair hearing will apply. Case Western Reserve University has established a mechanism whereby students of the University may express a grievance against the actions of other students or members of the faculty and staff. A statement of the policies and procedures to be followed in the case of academic infractions by graduate students may be obtained through the School of Graduate Studies. The policies and procedures governing all other infractions are detailed in the "Student Affairs" section of the General Bulletin. The University Office of Student Affairs should be consulted for non-academic infractions.

It is also the responsibility of the student to become acquainted with the general regulations and administrative procedures governing graduate study, together with the departmental or school regulations which apply to the student's course of study, and, in consultation with the faculty Advisor or advisory committee of the supervising unit, to plan the program and carry out the work in accordance with these regulations and procedures.

Departmental Responsibility for Requirements

Requirements for master's and doctoral degrees beyond those set forth in these regulations may be established by departments or curricular program committees with the approval of the Dean of Graduate Studies. Individual students may be required to take courses beyond the published requirements in order to successfully complete their degree programs. In such instances the student must be notified in writing upon matriculation by the chair of the department or curricular program, with a copy to be filed in the School of Graduate Studies.

Maintenance of Good Standing

A student maintains standing in the School of Graduate Studies by registering each fall and spring semester unless on an official leave of absence which has been approved by the School of Graduate Studies. A student in good standing meets the standards set by the academic department and the School of Graduate Studies and demonstrates normal progress toward the fulfillment of the stated requirements at levels of quality without warning or probation or extension of the allowable time limit for degree completion.

- Students whose quality point averages fall below minimum standards (3.00 for doctoral students; 2.75 for master's) will automatically be placed on probation until the minimum standards are achieved.
- A student will be subject to separation from the university for any of the following reasons:
 1. Failure to achieve a quality-point average of 2.50 or higher at the completion of 12 semester hours or 2 semesters of graduate study.
 2. Failure to achieve a quality-point average of 2.75 or higher at the completion of 21 semester hours or 4 semesters of graduate study.
 3. Failure to receive a grade of S in thesis research 651 or dissertation research 701.

*A student who receives a grade of U in thesis (Course 651) or dissertation research (Course 701) will be placed on probation and be subject to separation. The probationary status will be recorded on the student's transcript. The student must be removed from probation by the end of the semester immediately following receipt of the grade of U by repeating the course for the same number of credit hours, and achieving a grade of S. Although removal from probation restores the student's good standing, the grade of U received will not be canceled or substituted by the grade of S subsequently received. Separation will occur if the student placed on probation receives another grade of U in the following semester; or, if the Dean of Graduate Studies, in consultation with the academic unit, determines that the student is unlikely to be successful in working independently and productively toward the completion of the thesis or dissertation research.

4. Failure of a conditionally or provisionally admitted student to satisfy the conditions or provisions stated in the letter of acceptance by the end of the first semester for conditionally admitted students or by the end of the first academic year (2 semesters) or after 18 credits of course work for provisionally admitted students.
5. Failure to make progress towards degree completion. If the student is not making progress towards degree completion, and it has been judged that the student is unlikely to be successful in working independently and productively toward the completion of the thesis or dissertation research, the department and/or the Dean of Graduate Studies (in consultation with the department) can recommend academic separation.
6. In addition to disciplinary actions based on academic standards, on recommendation of the student's department or school, the Dean of Graduate Studies can suspend or separate a student from the university for failure to maintain appropriate standards of conduct and integrity. Such a suspension or separation will be implemented only for serious breaches

of conduct that threaten to compromise the standards of a department or create concern for the safety and welfare of others. In the event of such suspension or separation, the student will be entitled to an appeal through the grievance procedure of the Graduate School.

Maintenance of Quality-Point Average

In calculating the quality-point average, courses taken as a student in the School of Graduate Studies at the 400 level or above, as well as any courses accepted toward fulfillment of degree requirements for which quality points are given, will be counted, including courses which may need to be repeated. Unless otherwise stated by the department, a minimum cumulative quality-point average of 2.75 is required for the award of the master's degree, and a minimum cumulative quality-point average of 3.00 is required for award of the doctoral degree. Any department, school, or curricular program committee may choose to establish quality standards higher than those stated above if such additional requirements are made known in writing to the students upon matriculation, and are recorded with the Dean of Graduate Studies. In that case, the departmental standards supersede the minimum standards. Students who do not maintain the minimum quality point average will be placed on academic probation until the minimum standard has been achieved.

Residency Requirement

The doctoral residency requirement is intended to insure a period of intensive academic interaction with faculty and peers and of sustained independent research. Graduate students are considered to be in residence when they are fully engaged in academic work. As resident students they may teach at the university, take graduate courses, assist in course development, and engage in research or in other scholarly activities at the university. Regardless of the nature of the work, the student's regular presence at the university is expected during fulfillment of the residency requirement.

- The formal fulfillment of residency requires continuous registration in at least six consecutive academic terms (fall, spring and/or summer) from matriculation to a period not exceeding five years after the first credited hour(s) of dissertation research (701).
- The period while students are on a leave of absence does not count towards fulfilling the

residency requirement. Within the context of continuity of registration, departments may enact other restrictions. In such instances, the departmental requirements take precedence and must formally be disclosed to the student at matriculation. This is meant to be a reflection of the appropriate reality that departments and fields have different norms and traditions of graduate study. For example, to fulfill the residency requirement, some departments may require the doctoral student to be registered for 9 or more semester hours of graduate credit in each of two consecutive semesters. Fulfillment of residency by all engineering Ph.D. candidates will be certified by their research Advisors and department chairs based on an assessment of active, concentrated involvement for a period of two consecutive semesters during their pursuit of the doctorate.

Time Limitation

All the requirements for the master's degree must be completed within five consecutive calendar years after matriculation as a graduate student, including any leaves of absence. Doctoral students have five consecutive calendar years from the semester of the first credited 701 registration, including leaves of absence, to complete all requirements for the doctorate. Any graduate student who fails to complete the requirements within the five year limit will be subject to separation from further study unless granted an extension by the Dean of Graduate Studies with the recommendation of the faculty advisor or advisory committee and approval by the department chair. An extension may be granted if the student and his or her advisor work out a plan of action for completion within a specified time frame which must be endorsed by the department chair. The required form for requesting an extension can be found at: www.case.edu/gradstudies. Students will be expected to meet all the specified deadlines outlined in the plan of action. The minimum acceptable registration during this extended period for each semester until graduation is three credit hours of 651 or 701, or, for Plan B Master's students, an appropriate course.

Leave of Absence from Graduate Study

Students undertaking graduate work are expected to pursue their studies according to a systematic plan each year whether registered for full or part-time study. Occasionally a student finds it necessary to interrupt his or her studies before completion of the graduate program. A leave of absence is not to be requested unless the circumstances are such that the student cannot continue graduate study. Under such circumstances the student must request in writing a leave of absence for a period not to exceed two consecutive regular academic semesters. In exceptional circumstances, the leave can be extended for another two semesters. However, the maximum amount of leave permitted per graduate program is four semesters. The reason for the leave must be stated clearly, and the request must be submitted to the Dean of Graduate Studies with the written endorsement of the student's academic department. During a leave of absence the student must not seek aid from faculty members or use of the facilities of the university. This means that students may not take exams or defend theses and dissertations while on a leave.

- A leave of absence does not extend the maximum time permitted for the completion of degree requirements, and a leave cannot be taken while students are on extension of the five-year limit.
- At the expiration of the leave the student must resume registration unless formally granted an extension of the leave. **Retroactive leaves are not permitted.** A student who fails to obtain a leave of absence, or who fails to register following an official leave, must petition the Dean of Graduate Studies for reinstatement in order to resume work as a student in good standing at the university.
- A student who is granted a maternity or paternity leave of absence related to infant care, as well as those who must fulfill military duty obligations can petition to extend the five-year time limit associated with completion of the degree. The length of the extension may not exceed two years. International students must check with the Office of International Student Services before petitioning for a leave of absence, as such a leave can affect their visa status.

The form for a petition for a leave of absence can be found at: www.case.edu/gradstudies/current/forms.html.

Withdrawal, Resignation and Reinstatement

Students must maintain continuous registration throughout their degree programs unless granted an official leave of absence. Students who fail to register for any academic term will be automatically withdrawn from their programs. Students who are withdrawn from their programs must petition for reinstatement in order to continue graduate study. The petition must be approved by both the student's department and the Dean of Graduate Studies before the student may register for further course work as a student in full standing. In each case of readmission with full standing, the official letter will state the terms of readmission, including future time limits for the degree program, and the past course work that will be credited toward the degree. If more than 24 months have elapsed since the last registration, students may have to resubmit file materials if requested by the School of Graduate Studies.

Transfer of Credit

- Transfer of credit from another university toward master's and doctoral degree requirements is awarded for appropriate course work (not applied to another degree program) taken prior to admission. Transfer of credit must be requested in the student's first academic year, and must be appropriate for the student's planned program of study.
- For master's candidates, transferred credit is limited to six semester hours of graduate-level courses, and no credit for master's thesis may be transferred from another university.
- No transfer of credit will be awarded towards the Ph.D. degree except by petition, and no credit for the doctoral dissertation may be transferred from another university.
- Students who wish to receive credit for courses taken outside the university once they are enrolled must petition for approval. All transfer of credit requires approval from the student's advisor, the departmental chair or graduate committee, and the Dean of Graduate Studies. Such courses must have been taken within five years of first matriculation at Case Western Reserve University and passed with grades of B or better.
- Seniors of exceptional ability in the undergraduate programs of Case Western Reserve University who have the approval of the Dean of Undergraduate

Studies and the Dean of Graduate Studies may apply to receive credit for graduate courses completed in excess of the undergraduate degree requirements.

Changes in Registration

To add or withdraw from courses after the published deadline or to change registration from credit to audit or the reverse, a student must obtain the appropriate official form to submit to the University Registrar in accordance with the dates published each academic term for such actions to be taken.

- Students must make appropriate changes to their schedules by the end of the first week of classes in order to avoid paying full tuition for courses withdrawn after the final drop/add date.
- Only complete withdrawal for the semester entitles a student to a percentage refund of the withdrawn courses after the first week of classes. (See the "Financial Information" section of the Bulletin under Refunds).
- Failure to attend class or merely giving notice to the instructor will not be regarded as official notice of withdrawal or change.
- When making changes in registration, the international student must be aware of maintaining full-time status. Full-time status requires registration for a minimum of 9 semester hours per semester.
- Students financed by federal loans must remain registered for at least 6 semester hours (defined as half-time) each semester to maintain continued eligibility for that funding or to initiate such a loan. Please note that advanced doctoral students enrolled in at least one credit hour of 701 are also regarded as full-time.

Graduation

A candidate for a degree awarded by the School of Graduate Studies must submit an application for the degree to the School of Graduate Studies by the deadline established for that semester, which is approximately **twelve weeks before** the commencement date for which the degree is expected to be awarded.

- Students are encouraged to contact the School of Graduate Studies at the beginning of the semester in which they intend to graduate to obtain a packet of graduation materials.

- The candidate must meet all the deadlines for completion of degree requirements set forth in the calendar.
- All candidates must be registered for credit and in good standing during the semester in which the degree is awarded. Payment of tuition, fees, and fines is a prerequisite to the award of a degree.

Delayed Graduation

It is a requirement of the School of Graduate Studies that a student be registered for credit in the semester in which he or she completes all the requirements to graduate in accordance with established deadlines for that semester. For a student engaged in thesis or dissertation research the completion of all requirements to graduate is not easily predicted, making it difficult to adhere to scheduled deadlines.

- If a student will not be able to meet the degree requirements to graduate in one semester, but will finish before the next semester begins, he or she can petition for a waiver of the requirement to be registered in the semester of graduation. The Waiver of Registration Form can be found at: <http://gradstudies/current/forms.html>.
- To be granted a waiver of registration students must be registered for the appropriate thesis or dissertation credit hours in the semester (or summer session) immediately preceding the semester of graduation, complete all degree requirements including a current application to graduate, and submit all required materials to the School of Graduate Studies by the last day scheduled for the Drop/Add period of the next semester.
- A student who qualifies for the waiver will be awarded the degree at the next graduation without the need to be registered or to pay a special fee.
- If a student fails to meet the waiver deadline, he or she will be required to register for the appropriate thesis or dissertation credit hours in the next semester, and to reapply for graduation in that semester.

EXCEPTIONS TO REGULATIONS

Students have the right to petition for exceptions to these regulations. Such a petition should be addressed to the Dean of Graduate Studies. In most cases the student's department or program committee must endorse the petition.

GRADUATE STUDENT GRIEVANCE PROCEDURE

It is the responsibility of the School of Graduate Studies to assure that all students enrolled for graduate credit at Case Western Reserve University have adequate access to faculty and administrative consideration of their grievances concerning academic issues. A three-step procedure has been established for graduate students to present complaints about academic actions they feel are unfair.

1. Students with complaints should first discuss their grievances with the person against whom the complaint is directed.
2. In those instances in which this discussion does not resolve a grievance to the student's satisfaction, a complaint should be presented in writing to the Department Chairperson.
3. In the event that a decision still appears to be unsatisfactory to the student, the student may bring the matter to the attention of the Dean of Graduate Studies. The Dean may ask the student to put the complaint in writing. The Dean will then discuss the case with the student and the Department Chairperson to evaluate the particulars and to make a ruling on it.

The Dean of Graduate Studies has the responsibility for the final decision, and the ruling from the Dean's Office will be considered final and binding on the persons involved in the grievance. Additional information about the grievance procedure can be obtained from the School of Graduate Studies.

It should be understood that this grievance procedure relates solely to graduate student complaints concerning academic issues. The procedure for handling complaints about other matters is detailed later in this publication.

ACADEMIC INTEGRITY STANDARDS FOR GRADUATE STUDENTS

The University's research, scholarship, teaching, and community service are central to its mission. To achieve that mission, it is critical that the highest standards of academic integrity are articulated to all members of the University community: faculty, students, and staff. All members of the community are expected to interact professionally in those endeavors which promote and facilitate the university's common mission. Adherence to professional Codes of Ethical Conduct can and do play a central role in the matter. The full text of the Academic Integrity Standards for Graduate Students can be found at: <http://gradstudies.case.edu/new/policies.html>

CASE WESTERN RESERVE UNIVERSITY INTELLECTUAL PROPERTY POLICY*

Preamble

Case Western Reserve University ("the University") is a privately financed institution devoted to teaching, research, and other scholarly activities benefiting the public. The university faculty, staff, and students, as part of their normal professional activities, conduct research that may be of significant benefit to the public and that merits development of its commercial potential. The University supports such research from its own resources; corporations, foundations, and governmental entities also provide funding for such research ("external funding"). The sponsors of external funding impose a variety of contractual terms on the University in connection with their financial support, including requirements regarding disclosure of matters pertaining to the research supported by external funding and allocation of the rights to inventions and discoveries produced by such research (collectively such inventions and discoveries are referred to herein as "applications"). These contractual terms are especially important in connection with those applications with commercial potential. This policy is therefore intended to provide an equitable and orderly procedure to promote the commercial development of applications while also maintaining compliance with the rights and duties associated with the external funding supporting it. The further purpose of this policy is to contribute to the promotion of a culture and spirit of innovation, creativity, imagination, dynamism, and scholarship that characterizes a research university.

1. INTELLECTUAL PROPERTY

For purposes of this policy, except as provided below, "intellectual property" includes any research results having potential commercial value produced by university faculty, staff, and students in connection with activities funded by the University and/or by external funding or using university employees, facilities, or equipment, including but not limited to any inventions, computer programs or other software, data bases, any information or material subject to copyright under the laws of the United States or any other government, trade secrets (as defined in the Case Faculty Handbook Summer 2005 47 Ohio Uniform Trade Secrets Act) and knowhow related to inventions.

Notwithstanding the foregoing, intellectual property does not include books (including textbooks), articles, novels, poems, psychological and educational tests and measures and educational software, musical works, dramatic works including any accompanying music, pantomimes and choreographic works, pictorial, graphic and sculptural works, motion pictures, audiovisual works, and sound recordings, regardless of whether such exempt materials were produced in connection with the use of university facilities, staff, or equipment. This policy does not apply to educational software.

2. OBJECTIVES OF THE POLICY

- a. To promote creative intellectual effort by university faculty, staff, and students for the purposes of developing the commercial value of intellectual property.
- b. To establish principles for recognizing the rights of the creators of intellectual property, the sponsors of external funding, and the University.
- c. To provide means to determine the commercial potential of intellectual property and to promote the commercialization of such intellectual property for the benefit of its creators and of the University.

3. GENERAL PROVISIONS

The University owns title to intellectual property except as otherwise contractually provided, whether such contractual provisions are associated with external funding or otherwise. This ownership helps further the University's academic mission

in that it promotes research, the dissemination of knowledge, and the well being of society in general. University ownership of intellectual property expedites commercialization, and ownership is often a condition of external funding; indeed the Bayh-Dole Act requires it for research funded by federal agencies. The benefits accruing to the University as a result of its ownership of intellectual property benefits its faculty by increasing the resources available to (1) promote the commercialization of intellectual property, thus providing royalties and other benefits to faculty and staff, and (2) advance the long-range development of departmental capabilities and of the University.

The University recognizes that if creative intellectual effort is to be fostered and stimulated, there must be a fair appraisal of rights to intellectual property and a funded mechanism for commercializing intellectual property. In order to recognize the interests of the appropriate parties, it is necessary that faculty, staff, and students who develop intellectual property during their association with the University cooperate with the University in defining and securing the rights to such intellectual property and assist in the University's commercialization efforts as requested by the University. In order to achieve protection and commercialization of intellectual property, the creator shall provide the vice president for research and technology management or his or her representative with a statement disclosing the intellectual property and the circumstances under which the intellectual property was conceived with particular reference to (a) whether the project or program from which the intellectual property derived was financed in whole or in part by a grant or contract, and if so, the name of the funding entity; (b) whether the intellectual property falls within the creator's activities and responsibilities for the University; and (c) whether university funding, equipment, staff, or physical facilities were employed in the process of developing the intellectual property. This should be done as soon as the creator is aware of the novelty and potential value of the intellectual property. The vice president for research and technology management, or his or her designee, shall make a decision whether or not the University elects to pursue the commercialization of the intellectual property and shall inform the creator

or creators of the disposition of said intellectual property within 120 days of receiving all information necessary for a complete disclosure. In cases where the University elects to pursue commercialization of the intellectual property, the Office of Technology Transfer shall incur the costs of protecting (through patenting, trademark, or copyright as necessary) and marketing the intellectual property to interested potential licensees. The Office of Technology Transfer is obligated to pursue commercialization expeditiously and in consultation with the creator(s). In cases where the University elects not to pursue commercialization of the intellectual property, subject to funding and governmental restrictions and in accordance with Sections 6 and 9 of this policy, said intellectual property shall be released to the creators at their request.

4. DISTRIBUTION OF RIGHTS

- a. Intellectual property may result from research falling generally into one or more of the following categories: (i) supported wholly or in part by university funding or use of university facilities, staff, or equipment; (ii) financed wholly or in part by a government grant or contract; (iii) financed wholly or in part by an industrial corporation or other private source under contract or written agreement; or (iv) conducted wholly on the creator's own time, at the creator's expense, and without use of university facilities, staff, or equipment.

Intellectual property arising from research conducted wholly on the inventor's time and at the inventor's expense is not a product of university funding. In all categories other than category (iv), all rights to the intellectual property have automatically been assigned to the University by reason of this policy and the creators, whether staff, students, or faculty, shall be obligated to execute any documents necessary to reflect such assignment of all rights to intellectual property to the University and to participate as necessary and appropriate in the acquisition and protection of proprietary rights to the intellectual property.

- b. The University is obligated to report to the appropriate government agency all intellectual property that has been derive from government funding in whole or in part for definition of the

government's rights and interests. This definition can result in: (i) a release of the intellectual property to the University (also see Section 6), with the government retaining a non-exclusive, non-transferable, royalty-free license (i.e. the normal course); or (ii) the government acquiring and reserving to itself specific rights.

- c. Rights with respect to intellectual property that is financed by industrial corporations or other private sources or that results from joint work with persons or agencies outside the University are governed by the terms of contracts or agreements with the corporation or agency (also see Section 6). The responsible investigator is responsible for informing all persons working on the project of their rights and obligations under such contracts or agreements before initiation of the research.
- d. The University assumes no right or responsibility with respect to intellectual property coming within clause A(iv) above. However, to be sure that there is no disagreement over whether intellectual property falls within that clause and for a creator to secure ownership rights with respect to such intellectual property, the creator must notify the vice president for research and technology management, or his or her designee, of the intended disposition of said intellectual property and request and obtain a waiver of university ownership prior to engaging in any commercialization activities of such intellectual property, including application to obtain property rights through patenting, etc. If the creator and the University mutually agree, the creator may assign the intellectual property to the University and thus avail himself or herself of the commercialization services of the University. (Complete information on these services is available from the vice president for research and technology management.)
- e. This policy applies to post-doctoral scholars, research associates, senior research associates, research and clinical faculty, and visiting faculty and scholars in the same way that it applies to faculty.

5. DISPOSITION OF UNIVERSITY RIGHTS

Disclosures of intellectual property must be made by creators to the vice president for research and technology management or his or her designee. In all cases where rights to intellectual property reside with the University, the vice president for research and technology management or his or her designee shall decide, in consultation with the creator(s), whether the intellectual property shall be commercialized by or through the University (or through an external source acting as agent for the University) or offered for release to the creator(s).

When the intellectual property is offered for release to the creator(s), they must inform the vice president for research and technology management, or his or her designee, in writing if they wish to pursue commercialization of the intellectual property on their own. The University shall release the intellectual property to the creator(s), except in cases where one or more of the following conditions prohibits such release:

- a. federal regulations governing the intellectual property prohibit such release;
- b. release of the intellectual property in question would create an undue liability or risk for the University, due to the potentially dangerous or inappropriate way(s) in which the intellectual property could be used;
- c. the intellectual property in question is not yet developed to a point where its commercialization potential can be determined or maximized. Irrespective of which alternative may be selected, wherever federal funding is involved in the development of the intellectual property, the U.S. government shall generally retain as a minimum the right to a royalty-free, non-exclusive, irrevocable license throughout the world under any patent which may eventually be issued, as well as the right to take back the intellectual property absent adequate commercial development.

6. MAXIMIZING COMMERCIAL POTENTIAL OF INTELLECTUAL PROPERTY

A viable technology transfer operation generates significant benefit to faculty, staff, and students of a university. In addition to providing a mechanism for transfer of knowledge and discoveries from

research to commerce, a technology transfer operation also increases researchers' exposure to commercial entities, thus increasing the potential for sponsored research. A worldclass technology transfer operation helps the University to recruit and retain the best research talent. There is direct benefit derived from the license income and start-up companies created by technology transfer activities, in terms of income for creators and their departments, and job creation for the local community.

Start-ups of new technology-based business ventures are among the pathways for transferring university ideas to practical application and public benefit. Faculty participation in such business ventures is premised on the strong affirmation that a faculty member's primary loyalty and attention must be given to the role of teacher and scholar. Properly managed, however, appropriate participation in such ventures can provide a special channel of intellectual satisfaction for faculty members wishing to play a role in seeing their research results converted to practical products. Such ventures also provide the opportunity for financial rewards to participating faculty, their department or school, and the University, through equity and/or royalty participation in the start-up granted in return for license of intellectual property rights. The vice president for research and technology management, or his or her designee, shall monitor all such start-up arrangements in consultation with the appropriate department chair or division head having administrative oversight over the faculty member involved in a startup; and the management center dean shall submit a written report annually of his or her findings to the provost. In the event that the interested party (faculty member) involved is a chair or division head, the vice president for research and technology management, or his or her designee, and the management center dean shall select another administrator to consult with the vice president for research and technology management.

To expedite the flow of intellectual property into the stream of commerce and hence ensure maximum benefit to the public, the creators, and the University, the University shall invest in the establishment of its own commercialization capabilities and may also develop relationships with several licensing institutions, economic development centers, and other organizations to realize the commercial benefit

of this intellectual property. The establishment of such an organization will be partially funded by proceeds derived from technology transfer activities, as outlined in Section 8.

7. DIVISION OF INCOME

Unless contractually agreed otherwise in advance, the net income received by the University in the form of royalty payments or other earnings on the intellectual property shall be allocated as specified below. "Net income," as used here, means the income which remains after deducting from gross income the expenses for external marketing, legal, intellectual property protection, travel, litigation, consulting payments, and/or fees due to third parties as a result of their support of research or commercialization of the intellectual property and other services and expenses directly related to the intellectual property in question or commercialization thereof. The deductions shall be reasonable and fair and shall be properly disclosed on a periodic basis to the creator(s) and the relevant department chair and dean. In no event shall payments for research activities be deemed to be part of "net income" for purposes of distribution to creator(s). Net income up to \$100,000 shall be divided equally between the University and the creator(s). When net income exceeds \$100,000, a fifteen percent (15%) administrative charge to defray the expenses of general operation and services of the Office of Technology Transfer shall be deducted; and the remainder shall be divided equally between the University and the creator(s). Unless otherwise agreed in writing, the University's share of net income shall be divided equally between the University and the school of the creator(s). The allocation of net income between units with the school shall be specified in an agreement signed by the creator(s) and the dean. This allocation remains the same if the creator(s) should leave the University. If there should be a plurality of creators, that part of the income accruing to the creators shall be distributed as specifically requested in writing by all the creators involved in that disclosure, typically as specified in the original invention disclosure forms used by the inventors in their disclosure to the Office of Technology Transfer. In case of dispute among the creators, the allocation shall be determined by the vice president for research and technology management, who shall make the final decision.

Where intellectual property has been developed with federal grant support, the University and its researchers are bound by the terms of the grant agreement. Those terms supersede this policy to the extent this policy is inconsistent with them. If a grant agreement reduces the amount of earnings that can be shared with a creator, the percentage of gross proceeds contributed to the operation of the technology transfer office shall also be adjusted on a pro rata basis.

The principle of sharing financial rewards of commercialization with the creators of intellectual property also applies when those rewards are in the form of equity participation in a company. However, it should be noted, because of the complexity of business start-up arrangements, the precise division of benefits will have to be negotiated on a case-by-case basis, particularly when faculty may have a continuing role in the company.

8. INTELLECTUAL PROPERTY CREATED BY STAFF WITHIN SCOPE OF EMPLOYMENT

Intellectual property created by staff within the normal scope of their employment shall be owned by the University by virtue of the employment relationship and therefore shall not be subject to the division of income provisions of this policy. Other intellectual property created by staff is subject to this policy.

9. RELEASE TO CREATOR OF UNIVERSITY-OWNED INTELLECTUAL PROPERTY

In the event that the University releases intellectual property owned by the University to the creator(s), the University shall retain a perpetual, non-exclusive, non-transferable, world-wide, royalty free license to use said intellectual property for educational and research purposes of the University and to sublicense it for current or future research in conjunction with the results of such research. The University may set requirements concerning such release as are appropriate, in the judgment of the vice president of research and technology management, to (i) provide for protection of the University's interests should creator seek to utilize university facilities thereafter in relation to the released intellectual property, (ii) preserve any rights of the sponsor, and (iii) protect the University from claims or costs arising from the use of the intellectual property after its release.

In the case of software, this policy requires access by specified university personnel to the source code, and the University shall require each person to whom a disclosure is made to execute in advance a binding confidentiality agreement in favor of and enforceable by the creator.

10. INDIVIDUAL AGREEMENTS

Intellectual property that is the subject of a specific agreement between the University and the creator(s) thereof shall be owned as provided in said agreement. Such agreements by the University and the creators are encouraged. Except where limited by external sponsorship agreements, creators and the University may negotiate individual agreements to govern ownership of intellectual property and any other matters, regardless of the applicability of any other provision hereof. The faculty and the University are encouraged to participate in unique agreements that promote reinvestment of royalties and receivables to further the research and educational activities of the University. In such cases, the University shall match such commitments of the faculty from their portion of the benefits.

11. STUDENT MATERIALS

Regardless of use of university facilities, student coursework or other intellectual property shall belong to the student unless created (a) while student is acting as an employee of the University, (b) while student is engaged in research funded by the University or external funding, or (c) as part of a class or other academic project involving a commercial entity's intellectual property, provided that it is announced at the commencement of the project that students will not have ownership of intellectual property created in conjunction with that project.

If faculty or teaching assistants, acting as advisors, assist in the creation of intellectual property and are therefore co-creators (with the student as creator), they may choose to disclose the invention to the vice president for research and technology management, or his or her designee, and avail themselves of the services of the Office of Technology Transfer in commercializing such inventions.

12. ROLE OF FACULTY COMMITTEE

In the event there is a disagreement between the creator and the University regarding the interpretation of this policy or its application, the Faculty Committee on Research or its designated resource group shall be consulted for its advice. This group shall consider all of the relevant facts concerning the development and reduction to practice of the intellectual property and meet with the creator and/or avail itself of appropriate legal assistance if either or both are deemed necessary. The committee shall make its recommendations on the disposition of the case to the president of the University who shall make the final decision.

** Adopted by the Faculty Senate 12/2/02; approved by the Board of Trustees 7/23/03*

UNIVERSITY POLICY ON THE INVOLVEMENT OF HUMAN PARTICIPANTS IN RESEARCH*

The promotion of scholarship and the discovery of new knowledge through research are among the major functions of Case Western Reserve University as an institution of higher learning. If this research is to be meaningful and beneficial to humanity, involvement of human subjects as experimental participants is necessary. It is imperative that investigators in all disciplines strive to protect human subjects. University policy and federal regulations demand compliance. Moreover, faculty investigators also have a moral obligation to humankind. The rights of society and the rights of individual subjects must be protected at the same time that investigators are privileged to carry out the mandate to advance knowledge. Research may entail risks to human subjects. Therefore, investigators are obligated to weigh those risks in light of potential benefits to the subject and/or to society. The following policy statements enunciate the guidelines under which investigations involving human subjects may be pursued.

1. MULTIPLE PROJECT ASSURANCE (MPA) OF COMPLIANCE WITH THE DEPARTMENT OF HEALTH AND HUMAN SERVICES (DHHS)

Anyone who is affiliated with the University (including all full-time and part-time faculty, staff, post-doctoral fellows, undergraduate, and graduate students) and who is planning to collect data from

human subjects for research purposes and/or study data on human subjects collected by others, must conform with the regulations set forth in the "Federal Policy for the Protection of Human Subjects" (DHHS Policy 45 CFR) and the University's own MPA. The University has a MPA on file with DHHS. This document assures the federal government that we have authorized institutional review boards (IRBs) to review and approve all research involving human subjects conducted by, or under the supervision of faculty, staff, or students, regardless of the source of funding or location of research.

2. DEFINITIONS

"Research" is defined in 45 CFR 46 as "systematic investigation designed to develop or contribute to generalizable knowledge." Therefore, any investigation designed to generate results that could be published (e.g. journal, book, or technical report) or presented at a conference is considered to be research. Research conducted with human subjects for masters or doctoral theses also must receive IRB approval prior to initiation.

"Human subject" is defined in 45 CFR 46 as a "living individual about whom an investigator (whether professional or student) conducting research obtains: data through intervention or interaction with the individual, or identifiable private information." See 45 CFR 46 for definitions of "intervention," "interaction," and "private information." Subjects may include, for example, persons involved in behavioral science studies; normal volunteers; donors of services; in-patients and out-patients; living donors of body fluids, organs, and tissues; and members of the general population who may be involved in environmental or epidemiological studies or similar activities. The unborn and the dead should be considered subjects to the extent that they have rights, as defined by federal, state, and local laws, which can be exercised by their next of kin or legally authorized representatives.

"Minimal risk" is defined in 45 CFR 46 as "the risks of harm anticipated in the proposed research are not greater, considering probability and magnitude, than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests."

3. INFORMED CONSENT

An investigator may involve a human subject in research only if the investigator has obtained the informed consent of the subject or the subjects legally authorized representative. An investigator shall seek such consent only under circumstances that provide the prospective subject or representative sufficient opportunity to consider whether or not to participate and that minimize the possibility of coercion or undue influence. The investigator must provide the information in written documentation, which uses language that is understandable to the subject or representative. The investigator cannot include in the consent process, either orally or in writing, any language through which the subject or representative is made to waive or appear to waive any of the subjects legal rights or which releases the investigator, the sponsor, the institution, or its agents from liability for negligence.

The basic elements of informed consent areas follows:

- a. statement that study involves research, explanation of purposes of research and expected duration of subjects participation, description of procedures to be followed, and identification of any procedures which are experimental;
- b. description of risks or discomfort to subject;
- c. description of benefits to subject or to others;
- d. disclosure of alternative procedures, if appropriate;
- e. description of the extent to which confidentiality will be maintained;
- f. for research involving more than minimal risk, explanation as to whether compensation and medical treatments are available if injury occurs;
- g. explanation of whom to contact if questions arise about the research, the subjects rights or whom to contact if research related injury occurs; and
- h. statement that participation is voluntary, that refusal to participate involves no penalty or loss of benefits, and that subject may discontinue at any time. Informed consent of minors or special populations has special requirements. Information on these requirements can be obtained from the Office of Research Administration (ORA).

4. CONFIDENTIALITY OF DATA

University investigators are responsible for protecting the right to privacy of research subjects by safeguarding the confidentiality of all individual data and all data that could in any way be attributed to or used to identify the individuals. Should any investigator be called upon by any individuals or groups, private or public, to reveal research data which would in any way endanger confidentiality, it is his or her obligation to refuse to divulge such information as privileged communication between researcher and subject. However, the University itself has the right to audit data in order to ensure that human subjects are being adequately protected and that the University is in compliance with the MPA. Those individuals performing the audit are bound by the same rules of confidentiality as the investigator.

5. INVESTIGATOR NON-COMPLIANCE

All investigators working with human subjects have a responsibility to comply with federal regulations and university policy. The most common lapses in investigator compliance are related to a misunderstanding of the application and reporting requirements, failure to submit necessary documents to the appropriate IRB, and failure to submit an application to conduct research involving humans before the study begins. Most of these cases can be quickly resolved by ORA and the investigator working together to correct the noncompliance.

Occasionally, an investigator will either evade or ignore IRB requests. Such cases present a serious challenge to the IRBs and to the University. Regardless of investigator intent, unapproved research involving human subjects may place those subjects at unacceptable risk, and places the University at risk for loss of federal funding. Failure to cooperate with ORA and/or the appropriate IRB in fulfilling application and reporting requirements and/or failing to respond to requests for information and documentation constitutes non-compliance. If an investigator fails to supply the IRB with requested information or documents after a request from the ORA, the vice president for research and technology management will be informed of this non-compliance. He or she will notify the investigators department chair and/or academic dean of this noncompliance and instruct

the investigator to stop further research involving humans until they comply with all ORA requirements. Depending on the nature of the research and the level of risk to subjects, the vice president for research and technology management may take possession of all data collected prior to approval of the research by the IRB.

6. SUBMITTING RESEARCH TO AN INSTITUTIONAL IRB UNDER THE MPA

IRBs are charged with reviewing and approving protocols to assure the adequate protection of human subjects. Under the University's MPA, the "institution," composed of four IRBs: University Hospitals IRB (UH), MetroHealth Medical Center IRB (MHMC), the Veterans Administration Hospital IRB (VA), and the University IRB (URC), gives assurance that it will comply with DHHS regulations for research with human subjects. Some affiliates, such as the Henry Ford Health System, are not covered under this MPA. Investigators at these institutions should seek human subject review from their institutions IRB or apply for a Single Project Assurance from DHHS.

The three hospital IRBs (UH, MHMC, and the VA) review all human research projects that originate from:

- a. their staff members;
- b. the Case departments housed in the School of Medicine;
- c. the School of Nursing, Dentistry or any other department that involves patients or personnel of each hospital, as well as
- d. all projects involving the hospital's patients or personnel, regardless of sponsor; and
- e. selected proposals as requested by the URC.

The URC mainly reviews behavioral research involving community populations primarily from the departments of Anthropology, Sociology, Psychology, MSASS, Engineering, and the Weatherhead School of Management. Nursing and dental research proposals that do not use hospital patients from the other three institutions will also be reviewed by the URC.

Approval from only one of the four IRBs is required (except if subjects will be from two or more hospitals included in our MPA). For example, if a protocol is using subjects from University Hospitals, then the UH IRB is the only approval needed, whereas if a study only involves a community sample, the URC should review it.

If a study is recruiting subjects from an institution outside of our MPA, approval of two IRBs is necessary. The outside institution's IRB approval should be obtained concurrently with approval from one of the four "institutional" IRBs. In cases where there is no complex medical intervention involved, secondary approval should be sought from the URC. Wherever it seems advisable to do so, independent consultants may be called upon to assist the IRBs. (Information on the constitution of IRBs is available upon request from ORA). Administrative and oversight responsibility of the "institution" rests with ORA. ORA must be kept informed of and has oversight for all IRB decisions. However, this does not mean that every protocol should be submitted to ORA, as described previously.

7. TYPES OF REVIEW

Exempt Review. All research involving human subjects must be submitted to the appropriate IRB. Determination of exemption must be made by ORA or by an appropriate IRB office. Research may be exempt from IRB review if it involves minimal or no risk procedures. Examples of such procedures may include surveys/interviews, educational tests, observation of non-institutionalized adults, and/or the study of existing data. If a determination of exemption is made, investigators are still responsible for ethical conduct of research with human subjects and must adhere to the required protocol. Research involving subjects who are less than 18 years old (minors) would not qualify for exemption.

Expedited Review. Expedited review is a procedure through which certain kinds of research may be reviewed and approved without convening a meeting of the IRB. Requests that qualify for this level of review require reading by at least one member of the IRB, usually the chair. The reviewers may exercise all the powers of the IRB except disapproval. If the reviewers do not approve the protocol, the research must be reviewed by the full IRB.

Full Review. All research not falling into the other two categories and most research involving persons under the age of 18, requires full review because it places the subject at more risk than research that qualifies for exempt or expedited review. Research requiring full review means that it is read, discussed, and voted upon by the full IRB committee.

Amendments. Investigators wanting to change a procedure in a study that has already been approved must prepare a written description of the change and the reason for the change. Such changes include the entry or enrollment criteria of subjects, procedures for data collection, or some activity or procedure that must be changed due to an adverse event. The IRB will then reassess the balance of risks to benefits. In light of the reassessment, the IRB may require the research to be modified or terminated.

Adverse Events. An adverse event is defined as any undesirable and unintended (although not necessarily unexpected) impact on the subject, as a result of therapy or other intervention. Investigators must report in writing to the IRB all adverse events within three business days, including isolated incidents of unanticipated adverse reactions. The IRB must then decide whether the research should be modified. If during the course of an investigator's approved research subjects experience adverse effects or new knowledge impacts research design, investigators must inform subjects of any information deemed important by the appropriate IRB, which may affect a subject's willingness to continue participation.

8. APPLICATIONS AND REVIEW SCHEDULE

Each institutional IRB has its own application packet and monthly meeting schedule. The administrative office (ORA, VA Medical Research Service, MetroHealth IRB office, or the UH IRB office) for the appropriate IRB should be contacted to obtain the recommended format and content of the proposal and informed consent documents, as well as deadlines for submission. Investigators should file a request for IRB review one to two months before the proposal deadline. Because any changes to protocol and consent forms as a result of IRB review will take additional time on the part of the investigator, IRB administration and the committee itself, investigators are strongly encouraged to submit requests for review well in advance of the proposed human subject research start date.

After the appropriate application has been completed, it should first be submitted to the department chair, or equivalent academic administrator, or department director at the affiliated hospital for approval. The chairs or directors at the Schools of Nursing and Dentistry will take the responsibility for transmitting the summary to their respective departmental committees. After departmental approval, the application is then sent either to the appropriate hospital IRB or to the URC. Missing signatures will result in review delays.

After completion of the review by the IRB, the chair or the appropriate IRB coordinator will communicate the results of the review to the investigator with copies to the appropriate department chair, director, and dean, as well as to ORA. Responsibility for the maintenance of files relating to the review of each project, including letters and memoranda pertaining to the resolution of problems, copies of consent forms, approvals, or disapprovals, etc., will be the responsibility of the individual IRB chair or coordinator. Files will be maintained at least three years after protocol termination. Any amendments made to approved protocols and consent forms must be submitted to the appropriate IRB before they are implemented. At the time of the original Case Faculty Handbook Summer 2005 56 review, the IRB shall designate the frequency of continuing review; however in no case will the interval exceed one year. Continuing (annual) review is mandatory. Each investigator is responsible for ensuring that their research has been reviewed annually. If research is terminated, the investigator will report this to the appropriate IRB office and follow-up with a summary of findings, including any adverse events. Failure to complete annual review will result in the immediate termination of the protocol. In such a case, investigators will need to resubmit their protocol to the IRB in order to continue with their research.

9. FACULTY ADVISORS ARE RESPONSIBLE FOR STUDENT RESEARCH

A faculty member assigning research projects involving human subjects must take an active role in assuring that the subjects of student research are adequately protected. The University expects that advisors will take an active part in preparing students for the role of researcher, instructing them in the ethical conduct of research and

assisting in the preparation of IRB applications. After protocol approval, the advisor should meet regularly with the student in order to review their work and progress. While a student serves as the primary researcher for the protocol, the faculty advisor is ultimately responsible for the protection of human subjects. A faculty member's signature on the application indicates their willingness to comply with all administrative and federal regulations.

10. INTERNATIONAL RESEARCH

All human subject research, regardless of funding, performed outside the United States must obtain appropriate institutional IRB approval according to federal regulations and the MPA. The University recognizes that "the procedures normally followed in the foreign countries may differ from those set forth in this policy." The research, however, may be approved if "the procedures prescribed by the (foreign) institution afford protections that are at least equivalent to those provided in the" MPA. If DHHS funds the research, each foreign institution should, upon request, submit an appropriate "Single Project Assurance" to the Office for Protection from Research Risks at DHHS. This assurance is in addition to institutional IRB approval.

11. HUMAN GENETIC RESEARCH

According to the OPRR's IRB Guidebook, "currently it is useful for IRBs to think of genetic research as being carried out on a continuum comprising of four stages:

- a. pedigree studies (to discover the pattern of inheritance of a disease and to catalog the range of symptoms involved);
- b. positional cloning studies (to localize and identify specific genes);
- c. DNA diagnostic studies (to develop techniques for determining the presence of specific DNA mutations);
- d. gene therapy research (to develop treatments for genetic disease at the DNA level)."

The primary risks involved in the first three types of genetic research are social, psychological, and economic, specifically possible insurance/employment and genetic discrimination. These risks are serious enough to warrant careful IRB review and discussion. ORA will provide investigators with current information

on genetic research regulation and policy.

** approved by the Board of Trustees 3/6/99.*

UNIVERSITY GUIDELINES ON AUTHORSHIP AND POLICY ON COPYRIGHT*

1. INTRODUCTION

The University should concern itself with matters of authorship, author-university relations, and copyright in order to stimulate faculty interest in creating learning materials and ensure that the learner, the author, and the University appropriately share the benefits of the creativity, money, and energy expended.

To fulfill these purposes, the university policy must be highly flexible and must be incorporated in an administrative process responsive to the needs of the learner, the author, and the unit of the University which sponsors and/or produces the learning material.

Within the context of this policy, the university unit is defined as a school, department, center, or other academic organization having an assigned budget or supporting grant. Learning Materials maybe defined as any copyrightable item which contributes to an educational objective, except that in the process of commercialization computer software other than computer aided instructional material, will ordinarily be treated as an invention or discovery and governed by the University Policy on the Disposition of Inventions and Discoveries in this section, notwithstanding the possibility that the software may be protected by copyright.

2. UNIVERSITY GUIDELINES ON AUTHORSHIP OF RESEARCH AND SCHOLARLY PUBLICATIONS**

Contributing to knowledge is a core activity of faculty, staff, and students in a research university. Contributions to knowledge are evaluated by the publications produced, regardless of the medium or format. Recognizing that authorship can sometimes be a complex process, Case offers these guidelines for helping faculty, staff, and students navigate authorship issues. For the purposes of these guidelines, publications include any and all articles, abstracts, and/or manuscripts based on

original work (research and scholarship) conducted at Case. These guidelines describe what is expected of faculty, staff, and students in authorship matters and are intended to encourage open communication about authorship issues.

a. Purpose of the Guidelines

1. Granting agency and public concerns are requiring explicit standards of accountability for all authors of research and scholarly publications.
2. In multiple investigator research and scholarly projects, standards are needed so that contributors can anticipate and understand their rights and responsibilities related to authorship or acknowledgment. However, in very large, multidisciplinary, or multi-institutional projects, following these precise guidelines may not be feasible. Nevertheless, scholars are expected to adhere to the spirit of the guidelines.
3. Not all contributors in any research or scholarship endeavors have the same role, power, or seniority in relationships. It is necessary to clarify the roles of all those involved and to understand each person's rights and obligations in authorship. The potential scholarly contributions of all collaborators, including students, need to be considered in the decisions of authorship.

b. Responsibilities and Criteria for Authorship

1. Authorship is attributed to persons responsible for the intellectual content of the publication. Only those who have contributed substantially to the conception, execution, or interpretation of the work, such that they are willing and able to take public responsibility for the publication, should be included as authors. Honorary authorship that is listing someone as a co-author in the absence of substantial intellectual contribution is discouraged.
2. All authors must have contributed to developing the manuscript and have read and understood the entire contents of the publication.

3. All authors must be sufficiently familiar with the conduct and at least the general interpretation of the research to accept responsibility for its integrity and credibility.
4. It is the responsibility of the author corresponding with the journal or conference, or his/her proxy, to ensure that authorship decisions conform to Case guidelines and ensure that all authors approve the final submission before publication.
5. All investigators accepting authorship should also accept the responsibility of avoiding unnecessary duplicate journal publication of similar material. Previous publication should be cited in any repeated use of data or theory, and a new publication should meet the criterion of making a new intellectual contribution to the field.
6. In the absence of meeting the above criteria, limited contributions such as provision of standard materials (for example, plasmids, cell lines, tissue, and antibodies), performance of incidental assays or measurements, use of facilities, routine patient care, critical review of the manuscript, providing access to subjects or providing an environment and/or financial support for the research, collecting or analyzing data in a routine format, chairing or advising a dissertation or thesis committee, having an administrative relationship to the research, or contributing to the general intellectual development of one or more authors are insufficient to justify authorship unless the above criteria have also been met but may be recognized by acknowledgment.

For large group projects, it is important at the outset that all members of the research team understand and agree to these principles of authorship. It is also important that procedures for resolving more detailed concerns, such as the timing of presentations or publications, order of authorship, and privilege of presenting results at meetings, be discussed to the extent feasible at the beginning and throughout the work as needed.

7. If disputes or questions concerning authorship have not been successfully resolved among members of a collaboration, these disputes or concerns should be brought, by the individual having a concern, for assistance in resolution to the following administrative officials in this order: a) the department chair, division head, or similar first line of academic management; b) the Dean; and c) the Provost.

However, if these matters involve allegations or evidence of scholarly misconduct or threats of retribution, they must immediately be brought to the attention of the appropriate university official, as per Chapter 3, Part 2, II. Policy for Responding to Allegations of Scientific Misconduct, in the Faculty Handbook. Journals, societies, and conferences may have different authorship policies that are more stringent or more lenient than these guidelines. In such cases, the guidelines expressed in the present document are to be considered as the minimum standards to which all Case faculty, staff, and students should adhere.

*** Approved by Board of Trustees 7/13/05*

c. Definition

For the purpose of these guidelines, research publications include articles based on original research submitted to journals, abstracts or manuscripts submitted for conference proceedings, or review articles submitted to journals or book publishers.

3. RELATIONSHIP OF THE AUTHOR AND THE UNIVERSITY

a. Independently-Authored Learning Material

In the absence of a prior agreement between the author and the University, it is assumed that materials developed through the normal activities of faculty (including sabbatical leave) are the property of the faculty member. He or she shall have full ownership of the copyright in the materials which he or she has prepared, and the University shall have no claim or rights to the material.

If, however, material is developed as a consequence of initiatives taken by others (e.g., department head, curriculum committee, etc.), then the university unit shall be entitled to the royalty free right to its internal use for an indefinite period, even though the faculty member may leave the University.

b. University Sponsored Learning Material

Where a university unit sponsors the preparation of copyrightable materials, there is to be a prior written agreement or contract specifying the rights of the author and the rights of the University.

1. Where in the preparation of instructional material the author makes extensive use of university personnel and/or facilities without personal charge to him or her, the material shall be considered university sponsored; and, depending on the extent and cost of the university facilities and personnel, one of the following conditions will apply:
 - a. The author shall own the copyright, and the University shall have royalty free rights to internal use of the material for an indefinite period, even though the faculty member may leave the University.
 - b. The author shall own the copyright, and the University shall have a royalty free right to internal use of the material and shall be entitled to a percentage of income derived from such material.
 - c. The University shall own the copyright, shall have a royalty free right to internal use of the material, and shall pay the author a percentage of income from the material.
2. In all the above cases the author and/or the university unit shall have the right to limit or restrict the use of university sponsored material, and any such restrictions shall be stated in the contract between the author and the university unit.

3. When conditions and demand require a revised or subsequent edition, a new contract shall be entered into by the author and the University for revision of the material. If the author declines to revise or fails to complete the revision within the time specified by contract, the university unit may then make arrangements with another person or persons for the revision. In such cases the original author shall retain a partial royalty, as it may be provided for in the original contract or the contract covering the revised edition.
4. The author and the university unit may mutually agree to market or license the marketing of university sponsored material for audiences external to the University.
5. Any net income which may derive from externally used copyrighted material generally will be divided between the author (or authors) and the University. However, since circumstances will alter the relative equities of the author and the University, the final terms of division in any particular case are to be negotiated at the time a written agreement is developed.
6. In the event that the author and the university unit fail to agree on matters of development, production, or marketing of university sponsored learning materials, the author may, upon approval by the University Advisory Committee on Copyright, elect to have the material published or marketed by another organization. In such cases, the University shall receive reasonable compensation, either from the author or from the new agency, for the release of the University's rights to the material.

c. University Commissioned Learning Material

Where the author is commissioned by a university unit, i.e. given release time from his normal workload to prepare learning material, the University, unless it otherwise agrees in writing, may:

1. Copyright the material in its name and

may claim absolute and exclusive title to the material or

2. Make any other arrangements concerning copyright and concerning the distribution of income derived from that copyright which it deems best.

4. ROLE OF THE UNIVERSITY ADVISORY COMMITTEE ON COPYRIGHT

- a. Advise faculty and administrators of the requirements and procedures for establishing, maintaining, and registering copyright.
- b. Urge faculty to acquire and maintain copyright on all appropriate material which they create independently of the University and, when appropriate, to register the copyright.
- c. Urge the party (author or university unit) entitled to the copyright of university sponsored material promptly to copyright the material; to maintain copyright; and, as soon as appropriate, to register the copyright.
- d. Advise faculty and administrators that the rights-in-data clause in federal contracts, which can preclude or complicate copyright, can usually be altered at the request of the author and the University and that the University's Office of Research Administration is available for consultation on this matter.
- e. Hear any disputes which may arise between authors and the University regarding the implementation of this policy. This mechanism shall not preclude use of the grievance provisions of the policies and procedures for faculty members.

5. IMPLEMENTATION OF THE POLICY

a. Administrative Responsibility

Advice and assistance in obtaining copyright are available to faculty and administrators through the University Office of Research Administration. This office, in taking responsibility for administering the policy, will act as a clearinghouse in referring questions to appropriate internal or external experts so that definitive answers will be obtained. Assistance will also be given in arranging or finalizing contracts or agreements such as specified under 2,b above.

b. Disputes

As indicated above (3,e), the University Advisory Committee on Copyright shall review disputes and make recommendations to the Committee on Research as to their settlement.

** approved by the Board of Trustees 8/5/74.*

UNIVERSITY POLICY ON CUSTODY OF RESEARCH DATA

1. RATIONALE AND PURPOSE OF THE GUIDELINES

This policy establishes the assurance that research data are appropriately recorded, archived for a reasonable period of time, and available for review under the appropriate circumstances.

- a. Research support agencies, journals, clinical care sites, or colleagues in the field may need or be legally entitled to review primary research data well after publication or dissemination of results and will hold the University accountable for the availability of these data.
- b. Researchers involved in multiinvestigator projects have rights to access to data gathered by all members of the group.
- c. The University may be required to review internally the adequacy and integrity of data if findings of university research are called into question.

2. CONTACT PERSON

Vice President for Research and Technology Management

3. APPLICABILITY AND DEFINITIONS

This policy shall apply to all Case Western Reserve University faculty, staff, students, and other persons at Case Western Reserve University involved in the design, conduct, or reporting of research at or under the auspices of Case Western Reserve University or with the use of university resources or facilities. It shall apply to all research projects on which those individuals work, regardless of the source of funding for each project. Research is defined as a systematic investigation designed to develop and contribute to generalizable knowledge. Examples of activities that constitute research include any study intended to result in publication or public presentation; any

activity resulting in publication or public presentation, even though it involves only review of existing data that were collected with no intent to publish; or any use of an investigational drug or device.

Research data are defined as the material, originally recorded by or for the investigator, commonly accepted in the scientific community as necessary to validate research findings. Research data include but are not limited to laboratory notebooks, as well as any other records that are necessary for the reconstruction and evaluation of reported results of research and the events and processes leading to those results, regardless of the form or the media on which they are recorded. The principal investigator (PI) is defined as the person responsible for the research or who is the signatory person for sponsored research. Confidential information is specified in the "Case Western Reserve University Intellectual Property Policy" and the "University Policy on the Involvement of Human Participants in Research."

4. RIGHTS AND RESPONSIBILITIES

Both the University and principal investigator (PI) have responsibilities and rights concerning access to, use of, and maintenance of research data. The PI is responsible for maintenance and retention of research data in accord with this policy. Case Western Reserve University's responsibilities with regard to research data include, but are not limited to:

- a. Complying with terms of sponsored project agreements;
- b. Ensuring the appropriate use of animals, human subjects, recombinant DNA, etiological agents, radioactive materials, and the like;
- c. Protecting the rights of faculty, students, postdoctoral scholars, and staff, including, but not limited to, their rights to access data from research in which they participated;
- d. Securing intellectual property rights other than copyright;
- e. Facilitating the investigation of charges, such as scientific misconduct or conflict of interest;
- f. Responding to legal actions involving the University related to research carried out under its auspices.

5. COLLECTION AND RETENTION OF RESEARCH DATA

Case Western Reserve University must retain research data in sufficient detail and for an adequate period of time to enable appropriate responses to questions about accuracy, authenticity, primacy, and compliance with laws and regulations governing the conduct of the research.

The PI is the custodian of research data, unless agreed on in writing otherwise, and is responsible for the collection, management, and retention of research data. The PI should adopt an orderly system of data organization and should communicate the chosen system to all members of a research group and to the appropriate administrative personnel, where applicable. Particularly for longterm research projects, the PI should establish and maintain procedures for the protection of essential records. Research data must be archived for not less than three years after the final close-out or publication, whichever occurs last, with original data retained whenever possible. This should include reasonable and prudent practice for offsite back-up of electronic and hard-copy data. Where applicable, appropriate measures to protect confidential information must be taken. In addition, any of the following circumstances may justify longer periods of retention:

- a. Data must be kept for as long as may be necessary to protect any intellectual property resulting from the work;
- b. If any charges regarding the research arise, such as allegations of scientific misconduct or conflict of interest, data must be retained until such charges are fully resolved; and
- c. If the data involved constitute part of a student's work toward a degree, they must be retained at least until the degree is awarded or it is clear that the student has abandoned the work.

Beyond the period of retention specified here, the destruction of the research record is at the discretion of the PI and his or her department or laboratory. To enable the University to meet its responsibilities related to custody of research data (as previously described), the PI is obligated, upon appropriate request, to make all data available for review by the University, its officials or bodies, or the external funding agency or journals, or other external

regulatory agencies. This obligation continues even after the PI leaves the University. In group research projects, the PI is obligated to give co-investigators access to the research data or copies thereof for review and/or use in follow-on research, with proper acknowledgement. Data sharing and custody arrangements by coinvestigators or group projects should be determined by the investigators when joining the project and preferably defined in a data use agreement. Research data will normally be retained in the unit where they are produced. Research data must be retained in such a manner that they are accessible for inspection and copying by authorized representatives of Case Western Reserve University at reasonable times and in a reasonable manner.

6. TRANSFER IN THE EVENT A RESEARCHER LEAVES CASE WESTERN RESERVE UNIVERSITY

When individuals involved in research projects who are not PIs at Case Western Reserve University leave the University, they may take copies of research data for projects on which they have worked. The PI must, however, retain original data, at Case Western Reserve University, unless specific permission to do otherwise is granted by the vice president for research and technology management.

If a PI leaves Case Western Reserve University and a project is to be moved to another institution, custody of the data may be transferred with the approval of the vice president for research and technology management and with written agreement from PI's new institution that guarantees:

- a. its acceptance of custodial responsibilities for the data, and
- b. that Case Western Reserve University be given access to the data should that become necessary.

*Approved by the Board of Trustees 5/18/93.
Amended by the Faculty Senate Research Committee on 11/17/00, and amended after consultation with the Executive Committee on 12/7/00.
Approved by the Faculty Senate 12/14/00 and the Board of Trustees on 6/13/01.*

POLICY FOR RESPONDING TO ALLEGATIONS OF SCIENTIFIC MISCONDUCT*

1. INTRODUCTION*

a. General Policy

Research misconduct will not be tolerated or accepted at Case Western Reserve University. Scientific integrity and ethics are highly valued and expected from all members of the university community. While ensuring compliance, the University will make all efforts to protect the rights and reputations of all individuals including the respondent and good-faith complainant. The University will educate researchers and staff members on policies and the importance of compliance. Preventative measures are by far the most productive and least damaging to all involved. Our goal is to initiate department level discussions among students, faculty, and staff researchers to examine the contemporary stresses felt on academic research ethics and to consider ways to deal with those stresses.

The University's basic procedural approach to handling allegations of research misconduct is to investigate as soon as misconduct is suspected, inform and cooperate with the Office of Research Integrity (ORI), and to follow the proceeding policies.

b. Scope

This policy and the associated procedures apply to all individuals at Case Western Reserve University engaged in any research whether it is supported by the U.S. Public Health Service (PHS) or not. The PHS regulation at 42 C.F.R. Part 50, Subpart A applies to any research, research training, or research related grant or cooperative agreement with PHS. This university policy applies to any person paid by, under the control of, or affiliated with the institution, such as scientists, trainees, technicians and other staff members, students, fellows, guest researchers, or collaborators at Case Western Reserve University. While the University's authority to investigate, to compel cooperation, and to impose sanctions against those who are not members of the university

community is limited, the University will nonetheless investigate all allegations of misconduct involving research.

The policy and associated procedures will normally be followed when an allegation of possible misconduct in science is received by a university official. Particular circumstances in an individual case may dictate variation from the normal procedure when such variations are deemed to be in the best interests of Case Western Reserve University and PHS. Any change from normal procedures also must ensure fair treatment to the subject of the inquiry or investigation.

The full text of the Policy for Responding to Allegations of Scientific Misconduct can be found in the Faculty Handbook at:

www.case.edu/president/facsen/frames/handbook/research_misconduct.htm

AWARDS & FUNDING OPPORTUNITIES

SGS GRADUATE STUDENT TRAVEL AWARD

The School of Graduate Studies (SGS) at Case Western Reserve University (CWRU) is pleased to sponsor a program designed, in part, to facilitate mentorship between graduate students and faculty mentors.

The SGS will expend some of its endowment income to sponsor fulltime graduate student travel to conferences at which a paper or poster will be presented. Academic departments are expected to contribute funds, a 50/50 match, to demonstrate support of the application.

The maximum contribution from the SGS is \$500 for travel in the United States and \$1000 for travel outside the US in support of conference-related expenses such as registration, lodging, meals, and transportation. Furthermore, only two nights of lodging and two days of meals with a maximum meal allowance of \$48.00 are chargeable to and reimbursable under this program and all CWRU travel policies are applicable.

The applicant is responsible for making the necessary travel arrangements. Conference locations, which are within the continental United States, will receive highest priority in funding. In order to maximize program coverage, students can receive only one award while enrolled in a degree program housed under the SGS.

Additional information as well as an application can be found on our website at:

<http://gradstudies.case.edu/new/profdev.html>

THE LENORE A. KOLA GRADUATE STUDENT COMMUNITY SERVICE AWARD

Dr. Lenore A. Kola is an Associate Professor of Social Work at the Mandel School of Applied Social Sciences and former Dean of the School of Graduate Studies (2001-2004). During her time as Dean, Dr. Kola implemented numerous changes in Graduate Studies that have increased services that Graduate Studies provides to its constituents. Dr. Kola also mentored graduate students in the Graduate Student Senate Executive Committee to become more actively engaged in the life of the university. During Dr. Kola's tenure the Graduate Student Senate (GSS) independently launched a "Save the Graduate Dean" campaign when the university leadership was closely examining the need for this position. Dr. Kola's mentoring has encouraged a number of graduate students involved with GSS to give back to the university community which has resulted in a very active GSS that seeks to serve their fellow graduate students on many different levels.

In recognition of Dr. Kola's contributions to the graduate student body and the Graduate Student Senate, The School of Graduate Studies has created The Lenore A. Kola Graduate Student Community Service Award.

Eligibility:

- A graduate student whose degree is awarded by the School of Graduate Studies may be nominated by anyone in the Case community (faculty, staff or student).
- Must be a current active member of the Graduate Student Senate or a student organization recognized by the Graduate Student Senate

Award:

- \$1,000 (award to be presented at the Graduate Studies annual award ceremony)

Application Deadline:

- Early March

AWARDS & FUNDING OPPORTUNITIES

THE EVA L. PANCOAST MEMORIAL FELLOWSHIP

In June, 1985, the Board of Trustees of Case Western Reserve University approved the establishment of the Eva L. Pancoast Memorial Fund by which women graduates of The College of Arts and Sciences and/or women students in The School of Graduate Studies at the University might be assisted in extending their education by foreign study or foreign travel, or both, at any time during the twelve months following their graduation, or, in the case of graduate students, in the twelve months following the current academic year. The amounts of the fellowships vary, but generally range from \$1,000-\$3,500.

Those who receive awards will be required to submit a brief report of the project after its completion with reasonable documentary evidence of major expenditures.

Additional information and application may be obtained by contacting Dean Hamel, Undergraduate Studies (216) 368-2928.

THE VERHOSEK FUND

Introduction

In 1997, after nearly 30 years of service at Case Western Reserve University, Assistant Dean Edward Verhosek retired. Dean Verhosek had an tenure marked by devotion to the rights and concerns of graduate students. When he retired, the GSS struck a committee to oversee the choice of a retirement gift for Dean Verhosek and we met with him to find out what he would like as a remembrance from the students he had helped for so many years.

True to his altruistic form, he suggested that the gift he would appreciate most was a fund named in his honor to assist graduate students financially with expenses encountered in the latter part of their studies. He drafted "Thoughts on the 'V' Fund for Graduate Students" to give us a start on how to make the grants-to-students a reality.

In addition to honoring Dean Verhosek, the V Fund also provides a vehicle for graduate students to be helped by graduate students, and thus provide a salient means for GSS to provide a meaningful service to the graduate student body by providing funds for incidental costs incurred in thesis research that are otherwise usually left to be paid out of pocket by the graduate student.

Eligibility Criteria (Student)

- Enrollment in the School of Graduate Studies as a full or part-time, degree seeking student.
- Completed at least 12 credit hours of graduate level course work by application date.

Eligibility Criteria (Use)

- Conference Presentation (max \$200)—must include a copy of the conference confirmation of acceptance for presentation of paper/poster.
- Thesis/Dissertation Binding (max \$50)
- Other (but see restrictions)

Restrictions

- One grant-in-aid per student [per semester] with a lifetime maximum total of \$250 to any one student.
- No grants made for payments toward tuition, fees, fines, or professional society memberships.
- No grants made for attending a conference without presenting a paper/poster.

Additional information as well as an application can be found at the below website:

http://gss.case.edu/resources.php?name=_verhosek

In addition to the internal funding opportunities, students may want to visit our website for additional information on outside sources of funding:

<http://gradstudies/prospect/funding.html>

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ABUSE

Students are expected to respect the rights of students, staff and faculty members by refraining from any threatening or antagonistic behaviors. Abuse includes, but is not limited to:

- Actual or threatened physical or mental abuse of any person on University premises or at functions sponsored or supervised by the University;
- A singular situation involving an act of physical, verbal or mental abuse directed toward an individual or individuals;
- Repeated antagonistic and malevolent acts consisting of physical, verbal or mental abuse directed toward an individual or individuals;
- Repeated acts of an anti-social nature involving physical or mental abuse directed toward an individual, group or any other component of the University community.

ATTENDANCE

Students are expected to attend classes regularly. Each instructor is free to determine the extent to which absences affect the final grades of students but should make the policy regarding attendance known at the start of the course.

Students unable to attend classes because of illness should notify their instructors and make the appropriate arrangements directly with the instructor.

Any student who is unable to attend classes or participate in any examination, study, or work requirement on a particular day because of his or her **religious beliefs** is excused from any such activity. The student will be given the opportunity to make up the examination or work that is missed, provided that the make-up work does not create any unreasonable burden upon the University. When possible, students should give notice to instructors early in the semester about missing class because of a religious observance.

ALCOHOL POLICY

The University expects responsible behavior of students who choose to drink alcoholic beverages and requires an environment free of coercion for those who choose to abstain. Therefore, students must adhere to guidelines provided by the University for responsible and legal

consumption of alcoholic beverages. Individual students must also accept responsibility for their own behavior and should demonstrate a concern for the safety and well-being of others in the University community.

Legal Obligations. The University will conform to all state and local laws controlling the sale and use of alcoholic beverages. It is illegal to sell, provide, or serve beer, wine or liquor to anyone who is under the legal age (21). Servers of alcohol and sponsors of social events must be aware of and comply with all state statutes and with Case policies and procedures.

The Alcohol Policy can be found in its entirety at: <http://studentaffairs.case.edu/handbook/policy/university/alcohol.html>.

ACCEPTABLE USE OF COMPUTING AND INFORMATION TECHNOLOGY RESOURCES POLICY

Purpose

The purpose of this policy is to outline the acceptable uses of computing and information technology resources for the Case Western Reserve University community. This policy outlines the standards for acceptable use of University computing and information technology resources that include, but are not limited to, equipment, software, networks, data, and telecommunications equipment whether owned, leased, or otherwise provided by Case. This policy is intended to reflect the University's commitment to the principles, goals, and ideals described in the Case Vision Statement and to its core values. Coordination with Other Policies and Law Users of information technology resources at Case Western Reserve University are subject to applicable federal, state, and local laws, applicable contracts and licenses, and other university policies, including those for Human Resources, and those contained in the faculty and student handbooks, and notably those policies governing copyright and intellectual property compliance. Users are responsible for ascertaining, understanding, and compliance with the laws, rules, policies, contracts and licenses applicable to their particular uses. Any case of policy conflicts will be addressed by the policy review process.

Access to and Expectations of Persons Using Information Technology Resources

It is the policy of Case to maintain access for its community to local, national and international

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sources of electronic information sources in order to provide an atmosphere that encourages the free exchange of ideas and sharing of information. Case maintains a variety of information technologies for use as resources for people, catalysts for learning, and increased access to technology and an enriched quality of learning. Access to this environment and the University's information technology resources is a privilege and must be treated with high ethical and legal standards.

Preserving the access to information resources is a community effort that requires each member to act responsibly and guard against abuses. Therefore, both the Case community as a whole and each individual user have an obligation to abide by the following standards of acceptable and ethical use:

- Use only those computing and information technology resources and data for which you have authorization and only in the manner and to the extent authorized.
- Use computing and information technology resources only for their intended purpose.
- Protect the confidentiality, availability, and integrity of computing and information technology resources, including data.
- Abide by applicable laws and University policies and all applicable contracts and licenses and respect the copyright and intellectual property rights of others, including the legal use of copyrighted material.
- Respect the finite capacity of resources and limit use so as not to consume an unreasonable amount of resources or to interfere unreasonably with the activity of others.
- Respect the privacy and personal rights of others.

Access to Case information technology and computing resources is a privilege granted to students, faculty and staff of Case. The University extends access privileges to individual users of the University's information technology and computing resources. The extension of these privileges is predicated on the user's acceptance of and adherence to the corresponding user responsibilities detailed in this policy and addendum. The University reserves the rights to limit, restrict, or extend access to information technology resources.

Applicability

This policy applies to all users of Case computing and information technology resources including faculty, staff, students, alumni, guests, external individuals or organizations and individuals accessing external network services, such as the Internet via University facilities.

The Vice President for Information Technology Services/CIO will determine operational policies, networking standards and procedures to implement the principles outlined in this policy. ITS has the right to protect shared information technology services.

Uses

In general, the Case community shall use University information technology resources (which include privately-owned computers connected to the University network) in connection with the University's core teaching, research, and service missions. Uses that do not significantly consume resources or interfere with other users also are acceptable, but may be restricted by Information Technology Services. Under no circumstances shall members of the University community or others use University information technology resources in ways that are illegal, that threaten the University's tax-exempt or other status, or that interfere with reasonable use by other members of the University community. Any use of University information technology resources, including network infrastructure, for commercial purposes is prohibited.

Sanctions for Violations

Failure to comply with the appropriate use of computing and information technology resources threatens the atmosphere for the sharing of information, the free exchange of ideas and the secure environment for creating and maintaining information property and subjects one to disciplinary action. Any member of the Case community found using computing and information technology resources in violation of this policy may be denied access to university computing resources and may be subject to disciplinary action, both outside and within the university, including, without limitation, suspension of system privileges, expulsion from school, termination of employment and/or legal action as may be appropriate.

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Privacy and Security

There is no inherent expectation of privacy for information stored on Case information technology resources, except as provided by federal and state law and other university policy. Every effort will be made to maintain individual privacy, but the university will not be liable for the failure of these privacy efforts. While the university does not routinely monitor individual usage of its computing resources, the normal operation and maintenance of the university's computing resources require the backup and caching of data and communications, the logging of activity, the monitoring of general usage patterns, the scanning of systems and network ports for anomalies and vulnerabilities, and other such activities that are necessary for the rendition of service.

Review of the Policy

This policy may be assessed from time to time to reflect substantive change as a result of changes to the Case information technology resources and/or changes in legal statutes that impact information technology resources, copyright, or other intellectual property issues. The Vice President for Information Technology Services is responsible for determining when the policy needs to be reviewed and the process for review and revision.

DISHONESTY

Students are expected to act with honesty at all times. Dishonesty includes but is not limited to:

- Knowingly providing false information to the University and/or a University official in the performance of his/her duties.
- Falsifying documents, records, instruments of identification or other University forms.

DRUGS

The University's policy on drugs, which governs the students in all schools and colleges, states that:

The use or possession of drugs* is illegal except when prescribed by a physician, and the University cannot protect students from prosecution for violation of federal or state laws. Case Western Reserve University cannot condone the illegal possession, consumption, provision, or sale of drugs. The University, however, has

a strong obligation to make readily available to students full information about the use and effects of all drugs, and even more important, to make available sources of counseling to those who are using or have used drugs. Not only the students but also the faculty and all others who are in any position to advise students should be made aware of the need for counseling.

*Drugs to which these statements and rules apply are currently defined as including:

- Opiates (such as morphine, heroin, codeine, opium, demerol, and paregoric)
- Cocaine
- Marijuana
- Hallucinogens (such as LSD, DMT, Mescaline, peyote, and psilocybin)
- Barbiturates (such as nembutal and seconal)
- Tranquilizers (such as librium, phenothiazines, and reserpine)
- Amphetamines (such as benzedrine, methedrine, and dexadrine)
- Gamma-hydroxybutyrate (GHB or ecstasy)

All students, faculty, and administrators should be informed that the discovery that a student is using drugs is not, automatically, cause for disciplinary action, but is a compelling reason to urge that student to seek counseling or to refer the student to the proper source of counseling. Student Affairs and other administrative officials do not consider themselves law enforcement officers but advisers of students in the best interest of the students.

The following rules have been adopted by the University:

- Illegal possession or consumption of drugs is an offense which may be subject to penalty proportional to the seriousness and extent of the offense.
- The illegal provision or merchandising of drugs will ordinarily result in expulsion.
- Possession and/or use of drug paraphernalia, including but not limited to hookas, pipes and bongos, on University premises is prohibited and will be confiscated, even if the paraphernalia is not being used for consumption of drugs.

Students are reminded that a drug prescribed for one person may be harmful to another and are warned not to offer or provide their own medication to others.

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EMAIL COMMUNICATIONS

Official communications from the University may be sent electronically using the student's University-assigned email address. The University expects that students will read such official University communications in a timely fashion. Students who choose to forward email from their University account to another email address remain responsible for receiving and reading official University communications

FAILURE TO COMPLY

Students shall cooperate with all University officials, instructional or administrative, at all times. Failure to comply includes, but is not limited to:

- Failure to follow the directions of University official, instructional or administrative, acting in performance of their duties
- Failure to respond to a request to see identification; or
- Failure to complete judicial sanctions.

HARASSMENT

Members of the University Community are expected to respect the rights of others by refraining from any inappropriate behaviors that may negatively impact a student's experience. Harassment includes but is not limited to:

- conduct which intimidates, threatens, or endangers the health or safety of any person;
- behavior that intentionally or negligently causes physical, financial, or emotional harm to any person; and
- behavior that is construed as a nuisance, including prank phone calls or abusing or harassing another user through electronic means.

HEALTH EMERGENCY: AFTERCARE CONSULTATION/EVALUATION

In order to assist in the health care of our students, a medical and/or mental health consultation may be required by an Assistant Vice President or the Vice President for the Office of Student Affairs. This consultation normally would occur after a medical or mental health emergency, i.e., hospitalization. A student may be required to meet with a physician, psychiatrist, or psychologist to determine:

- the health care needs that may exist and whether these needs can be met within the University health care system.
- whether the student poses a substantial danger or risk to his or her own health.
- whether the student poses a substantial danger or risk to the health or well being of another person.

A recommendation to the Vice President for Student Affairs will be made based on the above criteria. Occasionally it may not be feasible for the student to resume a full or even partial return to the University setting. The Vice President or Assistant Vice President for Student Affairs will discuss with the student any recommendations made by the doctor and will assist the student in making plans for the best possible aftercare.

Students should contact the University Health Service (368-2450), your dean's office, or the office for Student Affairs (368-2021) immediately after any health emergency or in the case of hospitalization.

NON-DISCRIMINATION

Case Western Reserve University admits students of any race, religion, age, sex, color, disability, sexual orientation, gender identity or expression and national or ethnic origin to all the rights, privileges, programs, and activities generally accorded or made available to students at the University. It does not discriminate on the basis of race, religion, age, sex, color, disability, sexual orientation, gender identity or expression or national or ethnic origin in administration of its educational policies, admission policies, scholarship or loan programs, or athletic or other University-administered programs.

The Office of Inclusion, Diversity and Equal Opportunity coordinates compliance with Title III (age), Title VI (race), Title IX (sex), Section 504 of the Rehabilitation Act (disability), and the Americans with Disabilities Act (disability) for the University. A student with a complaint about discrimination on the basis of race, sex, age, or disability may contact either the Office of Inclusion, Diversity and Equal Opportunity, 310 Adelbert Hall (368-8877) or the University Office of Student Affairs (368-2020). The Assistant Vice President of Student Affairs, or his designee, will investigate student complaints of discrimination. In resolving such discrimination complaints, the University will utilize the Grievance Process and/or the Disciplinary Process.

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Sexual harassment complaints from students should be directed to the University Office of Student Affairs (368-2020), and these complaints will be handled according to the University's Sexual Harassment Policy.

Requests for accommodations for disabilities should be directed to the Disability Coordinator in Educational Services for Students (368-5230).

PERSONAL PROPERTY INSURANCE

All students should know that the University's insurance program does not cover loss or damage to a student's personal property. This policy applies everywhere on campus including residence halls, lockers, classrooms, and offices.

Many homeowners' policies provide for such coverage while a student is away from home attending school. Students may wish to check with their parents' agents or to buy separate insurance policies to cover their personal possessions.

POSTING

It is important for student groups to have adequate opportunities to publicize their events. It is also important to maintain an attractive campus free of unnecessary litter. The following guidelines are designed to achieve those objectives, while avoiding limitations to freedom of speech.

Student organizations may post information and notices concerning their organizations and its activities in areas provided by the University, including kiosks, bulletin boards, designated areas in residence halls, and Casenet. Complete guidelines for posting by student groups can be found at:

<http://studentaffairs.case.edu/handbook/policy/university/posting.html>.

PROTECTIVE SERVICES, SPECIAL EVENT STAFFING GUIDELINES

Requests for security officers to work special events on campus will follow these guidelines. Certain events may require additional security staffing based on the nature of the event or particular circumstances. The Director of Protective Services or his/her designee will determine staffing needs outside the guidelines based on all relevant factors.

Those students needing staffing should contact the Administrative Assistant at 368-1616 or Associate Director at 368-2908 to schedule officers for events. Requests for security coverage must be submitted to the CWRU South Campus Office at least five days before the scheduled event. Untimely requests cannot be guaranteed security.

All requests must be submitted in writing.

We require the following information:

- Event Date
- Type of event
- Location
- Time Frame
- Person in charge of coordinating the event
- Number of officers needed
- Presence of alcohol or money
- Any specific instructions
- Account number for billing
- Account name
- Billing address

The office of protective services confirms reservations in writing.

Security coverage may be requested for a minimum of three hours at a cost of \$75.00 (per officer) and \$25.00 per hour for each additional hour. If an event is cancelled, four hours notice is required to notify the officers scheduled to work. Otherwise, the group will be charged the three-hour minimum per officer.

Specific duties expected of the officer should be spelled out and discussed with the Protective Services events representative prior to the event. Every event must have an on-site contact person to serve as a liaison with the officer. The request must specify an uniform or plainclothes officer and any special concerns regarding the event.

Group size/officer attendance ratios:

- 1-150, no special circumstances—no officer required
- 1-150, with special circumstances—1 officer
- 150-300, no special circumstances—1 officer

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150-300, with special circumstances—2 officers

Over 300, no special circumstances—1 officer per 200

Over 300, with special circumstances—1 officer per 150

Special circumstances include alcohol being served, open to the public, cash on premise, history of the event, or other factors determined by the event organizers and/or the Director of Protective Services or his/her designee to require additional security.

RESERVING SPACE IN UNIVERSITY FACILITIES

The facilities and services of Case are maintained primarily to serve the needs of the University community--teaching, research, scholarship, administration, and social events. All individuals and groups using University facilities and services are expected to abide by the rules of conduct described below.

The University reserves the right to withhold from any individual or group the use of University facilities or service when, in the opinion of the University's officers, such use is not in the best interest of the institution or may place the University in a position of legal liability, or when the individual or group has failed to settle debts for previous activities.

Requests for student use of University facilities and services should be directed to the Thwing Center Administrative Office. Recognized student organizations will be provided with space for their activities to the extent that it is available.

Generally, campus facilities are made available in the following order of priority:

Case teaching and research activities

University meetings and conferences

Student activities

Alumni activities

Nonprofit organizations, with preference given to professional and learned societies, and to other University Circle member institutions

Other organizations when the event is related to the University's interests

For use by outside organizations and regarding memorial services and weddings, call Customer Service/Facility Operations at 368-3636 or e-mail events@case.edu.

RECYCLING

Students are expected to dispose of paper, aluminum, plastic, glass, newspaper, cardboard, and batteries in the appropriately labeled bins in residential facilities, academic and administrative buildings. All other material should be deposited in garbage bins. Recyclables deposited in the appropriate receptacles in residence halls, as well as in academic and administrative buildings, are retrieved by University personnel. Case Facilities Services also stores discarded computers, batteries, fluorescent lighting, and paint to be taken and recycled.

ROLLERBLADES/SKATEBOARDS

The use of rollerblades and skateboards is not permitted in any University building.

SEVERE WEATHER

Every effort will be made to keep the University open during difficult weather conditions to allow for regularly scheduled classes, food service, residence hall support, ongoing research activities, and normal office and business operations. Case will remain open unless official information to the contrary is disseminated.

SEXUAL ASSAULT POLICY

Case Western Reserve University is a community dependent upon trust and respect for its constituent members: students, faculty, staff and those under temporary contract. Sexual assault is a violation of that trust and respect and will not be tolerated. Sexual assault is a serious crime that can occur to men and women, whether gay, straight, transgender or bisexual.

The following definition of sexual assault is relevant to Case Western Reserve University policies and procedures. All students, faculty, and staff of the university are subject to this policy.

An individual who violates this policy may also be subject to criminal prosecution and civil litigation. For legal definitions refer to the Ohio Revised Code at <http://codes.ohio.gov/orc/2907.html>

Sexual Assault Definition

Any non-consensual physical contact of a sexual nature, whether by an acquaintance or by a stranger, is a sexual assault. Physical resistance need not occur to fulfill the

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definition of sexual assault. Consent CAN NEVER be given by anyone under the age of sixteen. Sexual assault includes, but is not limited to the following:

- rape,
- acquaintance rape, (e.g. friend, classmate, peer, co-worker, partner, etc.)
- incest,
- sexual assault with an object,
- forcible sodomy,
- forcible oral sex, and
- forcible fondling.

Consent: Consent is the equal approval, given freely, willingly, and knowingly of each participant to desired sexual involvement. Consent is an affirmative, conscious decision – indicated clearly by words or actions – to engage in mutually accepted sexual contact. A person forced to engage in sexual contact by force, threat of force, or coercion has not consented to contact. Lack of mutual consent is the crucial factor in any sexual assault. Consent CANNOT be given if a person’s ability to resist or consent is substantially impaired because of a mental or physical condition or if there is a significant age or perceived power differential. Examples include, but are not limited to being:

- unconscious,
- frightened,
- physically or psychologically pressured or forced,
- intimidated,
- substantially impaired because of a psychological health condition,
- substantially impaired because of voluntary intoxication, or
- substantially impaired because of the deceptive administering of any drug, intoxicant or controlled substance.

SEXUAL HARASSMENT

It is the policy of Case Western Reserve University to provide a positive, supportive, discrimination-free educational and work environment. Sexual harassment is unacceptable and unlawful conduct which will not be tolerated. All members of the University community must adhere to the sexual harassment policy and report violations of the policy.

CONSENSUAL RELATIONS

Case is a community that values an environment of inclusion, trust, and respect as beneficial for the working and learning environment of all its constituents. Romantic or sexual relationships may occur in a University environment given the numbers of people on a University campus. All relationships must be consensual; but, even though the relationship is consensual, it can raise serious concerns about the validity of the consent, conflicts of interest, and preferential treatment.

For the complete policies and procedures for sexual assault, sexual harassment and consensual relations, students can visit the below link:

www.case.edu/diversity/sexualconduct/policies/

SMOKING

With the University’s commitments to health-related research and teaching, protection of the health environment of students, employees, and guests is a major concern. Therefore, and in compliance with the Surgeon General, the University does not permit smoking in its facilities, in or around main entrances or exits of its facilities, or in University vehicles.

STANDARDS OF CONDUCT

The entire policy can be found at:

<http://studentaffairs.case.edu/office/handbook/policy/standards.html>

The following Standards of Conduct apply to all University students. Conduct that is subject to University disciplinary action includes the following:

1. Interference with freedom of speech or movement, or intentional disruption or obstruction of teaching, research, administration, or other functions on University property or at functions sponsored or supervised by the University.
2. Any actual or threatened physical harm or mental abuse of any person on University premises or at functions sponsored or supervised by the University.
3. Failure to comply with the directions of University officials, instructional or administrative, acting in performance of their duties.
4. Theft or vandalism of University property or that of a member of the University community or campus visitor.

NON-ACADEMIC UNIVERSITY POLICIES

5. All forms of dishonesty, including cheating; plagiarism; knowingly furnishing false information to the University; forgery; and the alteration or misuse of University documents, records, instruments of identification, or information technology resources.
6. Falsification, distortion, or misinterpretation of information before a hearing body.
7. Unauthorized carrying or possession on University property, or at functions sponsored or supervised by the University, of firearms or of any weapon with which injury, death, or destruction may be inflicted.
8. Violation of applicable law.
9. Violation of University policies and/or standards.

STUDENT ORGANIZATIONS

Graduate student organizations are recognized by the Graduate Student Senate. Additional information may be found at the following website:

<http://gss.case.edu/operations.php?name=forms#>.

The Office of Student Affairs has the right to review and revoke the recognition of all student organizations and to impose sanctions based on behavior and violation of University standards.

THEFT/VANDALISM

Students are expected to respect the property belonging to persons other than themselves as well as University property. Students should never take possession of items or damage items belonging to other persons without the express permission of the owner. Violations of this policy include but are not limited to:

- Theft of University property from its permanent location.
- Theft from a member of the University community or a campus visitor.
- Intentionally, recklessly, or negligently causing damage to the property of the University or of an individual.

WEAPONS

The University strictly prohibits the possession of firearms. Unauthorized carrying or possession on University premises of a firearm or any weapon with which injury, death, or destruction may be inflicted may lead to interim separation and referral to the University Judicial Board for possible permanent expulsion.

Weapons with which injury, death, or destruction may be inflicted—include, air guns, clubs, knives, swords, ammunition, and explosives of any sort. Ohio law prohibits all persons from selling, discharging, igniting, or exploding any type of fireworks. Students in violation of these policies are subject to disciplinary action.

STUDENT SERVICES



STUDENT SERVICES

ACCESS SERVICES

Crawford Hall, Room 18

Phone: 368-2273

Fax: 368-1036

www.case.edu/finadmin/security/access/access.htm

Department Services

- **ID Cards/Case One Card**
www.caseonecard.com
It's your official identification card. It's your access for everything—from checking out books at the Library to accessing the Veale Center to eating at the Dining Halls. It's the way to pay for everything you need, on campus and off. [Student signature required to process off-campus CASEcash transactions. For more information contact Access Services.] Dollars may be added to your account anytime during the semester.
- **Parking**
<http://parking.case.edu/>
Our purpose is to provide parking privileges in the most equitable and convenient manner to members of the community within the constraints of available resources. We offer various services with the underlying goal of excellent customer service.
- **Busing and Shuttles**
<http://shuttle.case.edu/>
Case, in conjunction with Standard Parking and the Greater Cleveland RTA, provides free bus service to students and others during the day and evening hours. Specific schedules and detailed information is available at the Access Services window in Crawford Hall. Check the website for the most up-to-date information.
- **RTA Bus and Rapid Trains**
<http://shuttle.case.edu/upass.htm>
Graduate students are able to purchase a semester U-Pass for \$75 from Access Services. This is a fixed per semester (including summer as a semester) rate and cannot be pro-rated or returned.
- **Entertainment Tickets**
www.case.edu/finadmin/security/access/tickets.htm
Access Services offers reduced price tickets to University students, faculty, and staff. These tickets may be purchased at Access Services in Crawford RM 18.

ALUMNI RELATIONS

Phone: 368-6280

www.case.edu/alumni/index.html

The University Alumni Office strives to ensure lifelong loyalty and pride among alumni by developing and enhancing their relations with Case and with each other.

Department Services

- Homecoming
- Mid-year Graduation Reception
- Hudson Relay
- Springfest

ATHLETICS & PHYSICAL EDUCATION

Veale Center

Phone: 368-2867

Fax: 368-5475

www.case.edu/athletics/varsity/

Associate Athletic Director & Intramural and Club Sports Director: Patrick Kennedy

Physical Education and Athletics offers a variety of intercollegiate and intramural athletic programs as well as physical education courses that provide lifetime sports activities. Campus recreational facilities include the Veale Convocation Center as well as the Veale Natatorium Center, Frieberger Field, and Adelbert Gymnasium.

Department Services

- Varsity intercollegiate athletics teams in 22 sports
- Academic classes in the sports medicine minor
- Opportunities to students, faculty, and staff to satisfy recreational needs.
- Sports clubs programs
- Fitness (wellness) classes in selected activities

STUDENT SERVICES

BOOKSTORE

Thwing Center
Phone: 368-2650
Fax: 368-5205
<http://case.bkstore.com/>

The University Bookstore serves as the source for all course related products including new and used textbooks. In addition it offers other conveniences for the students, faculty, and staff of Case.

Department Services

- New and used Textbooks.
- Complete reference sections and an extensive general reading department.
- Case gifts and clothing are available to show your school spirit.
- School supplies, computer software, and accessories.
- Market Place offers a full selection of snacks, beverages, magazines and film developing.

CAREER CENTER

206 Sears Library Bldg
Phone: 368-4446
Fax: 368-4759
<http://studentaffairs.case.edu/careers/>
Director: Dr. Thomas Brander Matthews

The Career Center offers individualized assistance, programs, and technologically advanced resources to educate students in the development of lifelong career management skills, the attainment of work experience, and the integration of academic and career plans.

Department Services

- Individual career counseling
- Internship and job search guidance and resources
- Credential file service for students seeking graduate or professional school admittance
- Career Assessment Testing: Strong Interest Inventory, MBTI, Skill Scan
- Interview, resume and cover letter assistance and critique
- On-campus interviewing and Career Fairs

- Career Network of Case alumni
- Case Career Link: Online database of jobs and internships

FLORA STONE MATHER CENTER FOR WOMEN

309 Thwing Center (3rd floor next to the Spartan Room)
Phone: 368-0985
Fax: 368-0977

www.case.edu/provost/centerforwomen

Director: Dr. Dorothy Miller
Assistant Director: Mitzi Vazquez-Long
Health Advocate: Katie Hanna

The Center for Women is a center of information and activity for and about women. Everyone is welcome to drop in, have lunch in the lounge, and check their e-mail. The mission of the Center for Women is to promote the well-being and advancement of women through education and advocacy.

Department Services

- Informal student discussion groups, movie nights, speakers, health forums, and receptions
- Confidential individual and group consultation with the Women's Health Advocate, a licensed social worker
- Resources and guidance on a wide range of issues affecting women including leadership and career opportunities, relationships and friendships, drugs and alcohol, sexuality and reproductive health, mental health, body image and sexual assault
- Brochures from a variety of campus and community resources, book and video library, a bulletin board advertising events, and a host of magazines of interest to women
- A conference room that can be reserved for group meetings
- A website that is a clearinghouse of information about campus and community events, organizations, and issues for and about women and gender

STUDENT SERVICES

CENTER FOR CIVIC ENGAGEMENT AND LEARNING

Thwing Center East, Lower Level

Phone: 368-6960

Fax: 368-0839

[http://studentaffairs.case.edu/civicingement/](http://studentaffairs.case.edu/civicingagement/)

Director: Elizabeth Banks

The Center for Civic Engagement and Learning (CCEL) is a center for volunteerism where students and student organizations may use the facilities and resources, including two 7-9 passenger vans, to plan and implement community service projects. CCEL provides information on integrating community service as well as service learning components into Case coursework.

Department Services

- Provide, promote, and support learning by Case Western Reserve University students through community service opportunities locally, nationally, and internationally
- Address critical community needs in the areas of literacy and mentoring, public health, the environment, the arts, and access to technology
- Support service-learning curriculum development and implementation
- Support student organizations dedicated to community service
- Provide opportunities to utilize work-study awards for community service
- Provide opportunities for students from University Circle institutions to participate in national and state-wide community service programs such as AmeriCorps, America Reads, and Ohio Reads.

COMPUTER LAB THE PLAIN DEALER ELECTRONIC LEARNING CENTER (PDELIC)

464 Sears Building

Phone: 368-5230

Fax: 368-8826

<http://studentaffairs.case.edu/education/resources/pdelic/>

The Plain Dealer Electronic Learning Center (PDELIC) is the computing facility located in the Sears Bldg, Room 464. The PDELIC employs a helpful staff to answer questions about the systems, the Case network, and the Internet. The PDELIC is open to the entire Case community and library patrons; special services are targeted toward

undergraduate commuters, students from multicultural backgrounds, and students with disabilities.

Department Services

- Printing services
- Campus network and Internet access
- Customized workshops
- Laptop lending
- Assistive technology

COUNSELING SERVICES & COLLEGIATE BEHAVIORAL HEALTH

201 Sears Library Building 2nd Floor

Health Service Bldg.

Phone: 368-5872 Phone: 368-2510

Fax: 368-1972 Fax: 368- 8530

<http://studentaffairs.case.edu/counseling>

University Counseling Services and Collegiate Behavioral Health specialize in assisting students undergoing important personal and social changes that may affect their academic performance, career plans, emotions and/or relationships.

Department Services

- Individual counseling
- Couples counseling
- Group counseling
- Psychological testing
- Psychiatric services
- Consultation services
- Referrals

STUDENT SERVICES

DENTAL CLINIC

10900 Euclid Avenue
Cleveland, OH 44106
Phone: 368-3200
Fax: 368-3304

<http://dental.case.edu/clinics/>

The Dental Clinic is dedicated to training dental students in the skills necessary to be competent dental practitioners and to understand the importance of being a life-long learner in order to provide the best possible patient care. Students covered by the Case medical plan receive some services covered 100% and others at a discounted rate. Refer to your medical plan for detailed information.

Department Services

- Examination, radiographs (x-rays), other diagnostics
- Treatment plan development with alternatives
- Preventive services
- Restorative services (fillings)
- Tooth replacement services including implants
- Consultation in all dental specialty areas along with needed care; such as, oral surgery, periodontics (gums), endodontics (root canals), advanced restorative dentistry, orthodontics, pedodontics, oral pathology, and geriatrics.

DISABILITY SERVICES

470 Sears Building
LC: 7062
Phone: 368-5230
Fax: 368-8826

<http://studentaffairs.case.edu/education/disability>

Associate Director: Susan Sampson

Disability Services for Students is the office at Case that reviews documentation and determines students' eligibility for services and accommodations. Disability Services for students interacts with campus departments in order to provide facilities, programs, and activities that will be accessible to students with disabilities.

Department Services

- Academic accommodations
- Parking or transportation assistance for long or short-term disabilities
- Housing accommodations
- Individualized advising regarding disability issues
- Promotion and development of self-advocacy skills
- Referrals to on and off-campus services
- Faculty and staff interface to provide reasonable accommodations

EDUCATIONAL SERVICES FOR STUDENTS

470 Sears Building
Phone: 368-5230
Fax: 368-8826

<http://studentaffairs.case.edu/education>

Director: Judith Olson-Fallon

Educational Services for Students seeks to empower students to maximize their learning experiences at Case by fostering collaboration among students, faculty, and staff.

Department Services

- Programming for new students and graduate teaching assistants
- Assistance to students with disabilities
- Graduate teaching assistant training
- The Plain Dealer Electronic Learning Center (PDELC)- an open undergraduate computer lab
- Graduate and professional school admission testing

STUDENT SERVICES

FINANCIAL AID

417A Yost Hall
Voice: 368-4530
Fax: 368-5054

<http://financialaid.case.edu>

Financial aid (including scholarships, grants, loans, and job awards) is awarded annually, on the basis of financial need. The University Office of Financial Aid serves as a clearinghouse for financial aid from outside sources, as well as from the University. Applications are generally available during December of each year for the following year and summer school.

Students must provide the following documents for annual consideration for financial aid:

- Financial Aid Profile of the College Scholarship Service and the Free Application for Federal Student Aid (FAFSA) by March 1.
- Case University Financial Aid Application by April 30.
- Signed or certified copy of parent(s) latest Federal Income Tax Return (Form 1040) by April 30. If parent(s) do not file a tax return, a signed Non-Filer Verification Form is needed and can be obtained from the Office of Financial Aid.
- Signed or certified copy of student's latest Federal Income Tax Return. If student does not file a tax return, a Student/Spouse Statement of Income Form is needed and can be obtained from the Office of Financial Aid.
- Summer school applications for students enrolling for a minimum of three credit hours or applying for summer college work-study by March 15.
- Scholarships, grants, and loans (excluding the Federal PLUS) are credited directly to the student's account to reduce the balance due the University. Loan assistance is not credited to the student's account until the student has signed a promissory note.
- Student's eligible for the Ford Federal Direct Student Loan, the Federal Perkins Loan, or a University Loan will receive promissory notes sometime in the summer which they will be required to sign and return to Financial Aid.

In order to receive loan funds from a Federal PLUS, a separate application must be submitted which can

be obtained from our office or any bank. After the check has been received and endorsed by the parent, it will be credited to the student's account.

- Scholarships awarded by outside agencies will be credited to the student's account only upon receipt of the funds. The student must notify Financial Aid if the agency is to be billed for these funds. Should the financial aid credit and/or the cash payment exceed the balance due the University, the student will receive a refund check no earlier than one (1) week after the drop/add period.

HEALTH SERVICE

2145 Adelbert Road
Phone: 368-2450
Fax: 368-8530

<http://studentaffairs.case.edu/health/>
Eleanor Davidson, M.D., Medical Director

Want to know what we talk to students about? Visit us online; we'll talk about anything that's important to you!!

- Health Service
- UHS Staff
- UHS Clinics
- STDs (sexually transmitted diseases)
- Warts (HPV)
- Allergies
- Needlestick
- Pap smear
- Immunizations
- Class excuses
- Condoms
- Oral Contraception
- Medical Plan (= insurance)
- Morning After Pill

STUDENT SERVICES

HOUSING AND RESIDENCE LIFE

4 Yost Hall

Phone: 368-3780

Fax: 368-6658

<http://studentaffairs.case.edu/living/services/aloha/>

Director of Residence Life:

,Janice Gerda, Ph.D.

Director of Housing

Alma Sealine

Department Services

- Maintains Off-Campus Housing Information for students approved to live off campus as well as for faculty and staff.

INFORMATION TECHNOLOGY SERVICES

Phone: 368-1025

Fax: 368-4903

www.case.edu/its/

Vice President: Lev Gonick

Information Technology Services is the division of the University responsible for the flow, dissemination, and management of knowledge in many forms. It is comprised of several units that provide a wide variety of technology-related services, including customer service and satisfaction, administrative and desktop applications, network and infrastructure services, telephone services and streaming video, instructional technology and academic computing, and University archives.

Department Services

Computer help, Dell hardware repair, general questions

The CDI IT Solutions Call Center can be reached by phone at: **216-368-HELP (x4357)**. We can also be reached via email at help@case.edu.

Help Desk Hours:

Call Center:

24 hours a day / 7 days a week / 365 days a year

In -Person Assistance:

Bellflower Care Center; 11424 Bellflower Road

M-F 9-5PM; Saturday; 10AM-4PM

Sears Library Walk In Center Room 340:

Monday – Fri. 9-5

STUDENT SERVICES

INTERNATIONAL STUDENT SERVICES

Phone: 368-2517

Fax: 368-4889

<http://studentaffairs.case.edu/international/>

Director: Elise Lindsay

The Office of International Student Services (ISS) helps graduate and undergraduate international students with all non-academic concerns. The office helps students with immigration procedures as well as housing and legal, financial, social, and cultural adjustments.

Department Services

- Issues immigration documents (I-20s and DS-2019s) to all Case international students in F-1 or J-1 status
- Informs and advises students regarding immigration regulations and procedures
- Assists international students and their dependents with applications for immigration benefits (permission to work on campus, change of visa status, employment authorization under curricular or optional practical training, etc.)
- Advocates on behalf of international students and provides programs to help them adjust to a new University, community, country, and culture through cross-cultural workshops, field trips, orientation, and the International Dinner
- Provides and encourages other University departments to offer programs and activities that promote intercultural exchange and enrich the Case campus community
- Provides a student lounge, a study area, and two Muslim prayer rooms

LAW CLINIC, MILTON A. KRAMER

11075 East Blvd.

368-2768

<http://law.case.edu/clinic/>

The Milton A. Kramer Law Clinic makes available legal counseling and representation to indigent clients. The clinic is staffed by Case law students under the supervision of clinical faculty. Limited representation is available to students in selected legal matters.

LIBRARY

Main Library: Kelvin Smith Library

11055 Euclid Avenue

Phone: 368-3506

Fax: 368-6950

<http://library.case.edu/ksl>

The University Library provides research-level information content of traditional and digital formats, enhanced by the expertise of professional information specialists that teach students how to maximize information resources with expert search strategies. The University Library also supports undergraduate and graduate programs in the College of Arts and Sciences, Engineering, and Weatherhead.

Department Services

- Expert research assistance for students in the Library, via email, private appointments, or live chat on the web.
- Specialized guides to subjects, online tutorials, monthly Research Spotlight, and more through Reference.
- CaseLearns classes that are free, small-class sessions to get started with complex resources, use specialized materials, or to learn software applications and web design; practice the class skills, or to get assistance on starting new projects in the Digital Scanning Lab.
- A Collection of 1.5 million volumes in the Kelvin Smith Library, with 7,000 journals, 6,000 videos, 200 electronic databases, 5,000+ electronic journals, 12,000 e-books, government documents, special collections, the Center for Statistics and Geospatial Data, and more!
- Offers online ordering of an additional 31 million items via the state academic consortium, where students can order OhioLINK books from a central catalog and designate delivery to the campus library of choice.
- Enhance the research materials at Case with Reserve and E-Reserve services, and supplement Case and OhioLINK materials with real-time tracking, web-based interlibrary loan services from world-wide library partners.
- Collaborates with departments, faculty, student groups to provide customized programs and research expertise for academic excellence and life-long skills-explore the homepage for more contacts, resources, news, tips, and services.

STUDENT SERVICES

MULTICULTURAL AFFAIRS

Sears Building 4th Floor

Phone: 368-2904

Fax: 368-4715

<http://studentaffairs.case.edu/multicultural/>

Director: Dr. Deborah Richardson-Bouie

The Office of Multicultural Affairs (OMA) encourages, supports, and facilitates the success of all Case students by providing opportunities for diverse interaction and cultural education outside of the classroom environment.

NOTARY PUBLIC

Office of General Counsel

Phone: 368-4286

M-F; 8:30AM-4:30PM

No appointment necessary

Department Services

A notary public is an officer whose duty it is to attest the genuineness of any deeds or writings in order to render them available as evidence of the facts therein contained.

POST OFFICE

Thwing Center

Phone: 368-2678

Fax: 368-8815

<http://studentaffairs.case.edu/thwing/postal/>

Manager: Sonya Abdul Amin

The campus Post Office is located near the Euclid Avenue entrance to Thwing Center.

Department Services

- Limited U.S. Post Office services, including postage sales, express, priority, certified and registered mail
- Money orders can be purchased
- Local and international fax service available
- RTA bus pass sales and information
- Campus points are accepted

PRINTING SERVICES

Thwing Center, Room A21

Business Office, Bindery

Phone: 368-2550

Fax: 368-5205

www.case.edu/finadmin/auxserv/printsrv/print.html

Satellite Location: Phone # - Hours of operation

Peter B. Lewis-Rm. 23:

368-2062 - 8:30 a.m. to 5:00 p.m.

Printing Services is a full-service copy/print facility designed to serve campus printing needs. It is our #1 objective to provide the best possible service and products to the University community at the lowest possible price.

Department Services

- Black and white copying/printing
- Color copying
- Thesis binding (Hardcover & Spiral)
- Posters
- Student business cards
- Promotional items

REFUGE

<http://studentaffairs.case.edu/living/residencelife/refuge.html>

Phone: 368-3780

If you could benefit from some time away from your regular living environment, you might consider using the Refuge. Operated by Housing and Residence Life, the Refuge is a suite of rooms offering a homey place to rest, relax and renew; a quiet place to study; and short-term overnight accommodations in a private room. The Refuge is a positive and healthful option for students who may be dealing with stress of a personal or academic nature or a minor illness. For additional information or referral, contact Housing and Residence Life or a hall staff member, the Office of Student Affairs, University Health Service, or University Counseling Services.

STUDENT SERVICES

REGISTRAR

110 Yost Hall
Phone: 368-4310
Fax: 368-8711

www.case.edu/registrar

University Registrar: Amy Hammett
Assistant Registrar: Tammy DelVallie

The University registrar is responsible for the permanent academic records of all students in the University. Students can obtain recorded information about requesting transcripts by calling 368-4337.

Department Services

- Responsible for the permanent academic records of all students in the University
- Provides certification of enrollment, verification of degree, and fulfill transcript requests on behalf of all university students
- Prepares and publish the schedule of classes and final examination schedules
- Schedules classrooms for faculty
- Coordinates collection and processing of grades
- Processes changes of name and address
- Provides enrollment certification for veteran's benefits (see Veterans' Coordinator)
- Provides registration and drop/add services for students enrolled in undergraduate and graduate programs. (Students enrolled in the schools of Applied Social Sciences, Dentistry, Law, Management, Medicine, and Nursing register through their respective registrars' offices.)

SOFTWARE CENTER

<https://softwarecenter.case.edu/eula.php>
Email: softwarecenter@case.edu

Faculty, students and staff are eligible to download software packages over the University network.

- Personal productivity and general purpose software packages (e.g., Microsoft Office Suite, virus protection, operating systems, desktop publishing tools, drawing, CAD, and painting packages, mathematical and statistical

packages and tools, and programming languages)

- Courseware and collaborative tools providing online assessments and simulations, scanned images and digital movies (e.g., notes, exam keys, syllabi, text, and reference materials)
- Online databases providing reference works, locator materials, and a wide variety of both general purpose and specific databases

SECURITY - PROTECTIVE SERVICES

1275 E. 115TH Street
Phone: 368-3333
Fax: 368-3077

www.case.edu/finadmin/security/

Director: Art Hardee
Associate Director: Mike Goliat

Protective Services Department provides 24-hour patrols and response for the University's facilities and grounds. Officers are trained to be the first responders to criminal, medical, fire, and chemical/radiation emergencies.

Department Services

- 24/7 visibility, alarm/emergency, response, security incident reports, first aid, order maintenance, and escorts
- 24/7 dispatch, communications, and alarm monitoring
- Criminal investigations
- Crime prevention services
- Special event security planning and staffing
- Key control and lock installation
- Evening shuttle programs

STUDENT SERVICES

STUDENT ACTIVITIES AND LEADERSHIP

Thwing Center
Phone: 368-2679
Fax: 368-8840

<http://studentaffairs.case.edu/activities/>
Director: Colleen Barker-Williamson

The Student Activities Office, in alignment with the mission of Thwing Center, provides enhanced, engaging and effectively developed opportunities in leadership, programming development, and personal skill advancement. This mission is accomplished through experiential learning outside of the classroom in the coordination with and delivery of small and large programming initiatives.

Department Services

- Copies/poster creation for student organizations
- Ticket sales to major Case events
- Coordination of Case traditions: Family Weekend, Homecoming, SnowBall, Student Leadership Award Ceremony, Springfest, Hudson Relays

STUDENT EMPLOYMENT

Yost Hall, 410A
Phone: 368-4533
Fax: 368-5054

<http://finaid.case.edu/StudentEmployment.aspx>
Assistant Director: Kristie Lillibridge

The Office of Student Employment serves students seeking part-time employment on and off campus during the academic year and summer term, because the University has made a commitment to utilize student employees whenever possible. The Office of Student Employment provides standardized practices and procedures for student employment. Employer vacancies are available for student review in accordance with employer specifications. Qualified students will be given the job information and will be advised to contact the employer directly to schedule an interview.

Department Services

- Centralize information about job opportunities within the University community for students of Case
- Develop job opportunities that enhance educational or career objectives
- Provide a referral service for students

- Process payroll data
- Screen qualified applicants

THWING CENTER

1111 Euclid Avenue
Phone: 368-2660
Fax: 368-2642

<http://studentaffairs.case.edu/thwing>
Director: Casey Medley

As the community center of Case Western Reserve University, Thwing Center is the unifying force that honors each individual and that values diversity. Thwing Center offers a variety of services including meeting rooms, food service, a postal substation, and the University Bookstore. The Center is also the “home” to all student organizations. Thwing Center creates an environment for getting to know and understand each other through formal and informal associations.

Department Services

- Meeting rooms in Thwing are available via online registration.
- Wide variety of quality programs, activities, and facilities to students and the Case Western Reserve community
- Full-range of services—ATM, Bookstore, Food Service, Post Office, Notary Public, and Wireless Accessibility

STUDENT SERVICES

UNIVERSITY CIRCLE POLICE DEPARTMENT (UCI)

12100 Euclid Avenue
Cleveland, OH 44106
Phone: 368-2222 or 791-1234 (emergencies)
Fax: 216-791-8238

www.universitycircle.org/uci_ab_ucpd.asp

Chief of Police/Director of Operational Services:
John Pavelich

Questions about parking violations including vehicles that have been ticketed, towed, or wheel-locked in a Case or UCI parking lot should be directed to the UCI Parking and Transportation Department. This department is responsible for parking enforcement in Case and UCI parking lots.

The mission of the University Circle Police Department (UCPD) is to perform community focused policing for the purpose of providing a safe and secure environment for University Circle.

Department Services

- Community focused policing—law enforcement, crime prevention, intervention, visibility and service that directly benefits the University Circle community.
- Community means institutions, employees, students, patients, volunteers, visitors, residents, and businesses in University Circle.
- The UCPD was created in 1959 to enhance the level of safety in University Circle by supplementing the efforts of the Cleveland Police Department and Case Protective Services Department.
- The UCPD is a full-service police agency staffed by 25 State of Ohio certified police officers who patrol and respond to service calls in University Circle and on the Case campus 24 hours a day.

VETERAN'S COORDINATOR UNIVERSITY REGISTRAR

110 Yost Hall
Phone: 368-4311

www.case.edu/registrar/veterans.html

University Registrar: Amy Hammett

The veterans' coordinator is a member of the University registrar's staff and administers the regulations pertaining to the educational benefits and opportunities open to veterans under U.S. law.

- Maintains close contact with the Veterans Administration
- Veterans' benefits must be certified with the Veterans Administration by this office each semester

VOTER REGISTRATION GOVERNMENT RELATIONS

Phone: 368-6519

www.cwru.edu/pubaff/govrel

The Office of Government Relations serves a liaison between the University and government representatives; monitors legislative and policy issues at the federal, state, and local levels; and coordinates advocacy efforts on behalf of the University. The Office is the contact point for voter registration information on campus.

Department Services

- Information on voter registration and voting
- General information on local, state, and federal government
- Protocols on writing to elected and appointed officials
- Protocols on inviting public officials to campus
- General information on advocacy strategy

APPENDIX

SCHOOL OF GRADUATE STUDIES COMMONLY USED FORMS AND PLANNED PROGRAM OF STUDY INSTRUCTIONS

The following commonly used forms can be found on our website <http://gradstudies.case.edu> and are included in this handbook for your reference.

- Arrangement to Resolve an Incomplete 59
- Petition for a Leave of Absence 60
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SCHOOL OF
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Arrangement to Resolve an Incomplete

To receive credit for a course marked "I" or "IN," a student must complete the required work by the date specified by the instructor. At the latest, incompletes must be resolved by the published deadline of the session following the one in which the incomplete was received.

If the student fails to remove the incomplete within the specified time, the student forfeits the privilege of completing the course for credit, the grade becomes a permanent incomplete unless the instructor elects to give a grade of "F."

Name _____ ID Number _____

Email _____ Phone _____

Department _____

Course _____ Term _____ Instructor _____

Reason for Incomplete:

In consultation with the instructor, I agree to the conditions and schedule below to permit a change of grade.

Requirements for Completion: _____ Date for Completion _____

Signatures

Student _____ Date _____

Instructor _____ Date _____

Dean of Graduate Studies _____ Date _____



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Petition for a Leave of Absence

Name _____ ID Number _____

Address _____

Email _____ Phone _____

Academic Policy on Leave of Absence from Graduate Study

The request must not exceed two consecutive academic semester. In exceptional circumstances, a leave can be extended for another two semesters. The maximum amount of leave permitted per graduate program is four semesters. A leave of absence does not extend the maximum time permitted for the completion of degree requirements, and a leave cannot be taken while students are on extension of the five-year time limit.

Maternity, paternity or military obligations do not count toward the five-year time limit for degree completion. The length of the extension caused by maternity, paternity or military leave of absence may not exceed two years.

I am requesting a:

Leave of Absence Military Leave of Absence Maternity/Paternity Leave of Absence

through:

Fall of _____ Spring of _____ Summer of _____

You must attach a typed document detailing an explanation to support the reason for the leave of absence if not requesting a maternity, paternity or military leave of absence.

Signatures

Student _____ Date _____

Faculty Advisor _____ Date _____

Department Chair _____ Date _____

Dean of Graduate Studies _____ Date _____



SCHOOL OF
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Petition for an Extension

Name _____ ID Number _____

Address _____

Email _____ Phone _____

Academic Policy on Time Limitation

Master's students have five years from the time of matriculation to complete their degree. PhD students have five years from the first semester of dissertation research registration (course 701 or 753 for DMA students). An extension may be granted if the student and the advisor devise a plan of action to complete the degree within a specified time-frame. **The minimum acceptable registration during this extended period for each semester until graduation is three credit hours.**

I am requesting an extension through:

Fall of _____ Spring of _____ Summer of _____

You must attach a typed document detailing an explanation to support the reason for the extension. Also include:

- The status of your studies
- A detailed plan of action
- A timetable towards degree completion

Signatures

Student _____ Date _____

Faculty Advisor _____ Date _____

Department Chair _____ Date _____

Dean of College _____ Date _____

Dean of Graduate Studies _____ Date _____



SCHOOL OF
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Petition for Transfer of Credit

Name _____ ID Number _____

Email _____ Phone _____

I hereby recommend that the student above be allowed to transfer units from _____ (Institution)

as indicated below toward the Master's degree Doctoral degree

in the Department of _____

In order to transfer credit, the indicated course:

1. Must be graduate level.
2. Must have a grade of 'B' or higher.
3. Must be in excess of requirements for prior degree awarded.
4. Must have been completed no more than five years prior to matriculation at CWRU.

In addition:

1. An official transcript must accompany the request for transfer of credit.
2. No more than six hours of transfer credit are permitted for a Master's degree student.

Please Note: Transfer credit **does not** count toward the required amount of graded coursework for graduation purposes.

Course #	Course Title	Units	Case Equiv. Course Code	Units
EXMP 555	Example Title of Transferred Course	3	EECS 452	3

One quarter hour of credit is equivalent to two thirds of a semester unit of credit.

Signatures

Student _____ Date _____

Faculty Advisor _____ Date _____

Department Chair _____ Date _____

Dean of Graduate Studies _____ Date _____



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Petition for Transfer of Department

This form is to be completed and returned to the School of Graduate Studies.

The new department may obtain a copy of the student's file from the School of Graduate Studies. Upon approval from the Dean of Graduate Studies, a copy of this form will be sent to the releasing department and the accepting department.

Name _____ ID Number _____

Address _____

Email _____ Phone _____

I request permission to transfer

from the Master's Doctoral program in the department of _____

to the Master's Doctoral program in the department of _____

effective for the term beginning _____

Student signature _____ Date _____

Permission granted from releasing department: Yes No Date _____

Signature of releasing Department Chair _____

Permission granted from accepting department: Yes No Date _____

Signature of accepting Department Chair _____

The following courses will be counted towards the degree requirements of the NEW department:

Course #	Course Title	Hours	Term

Dean of Graduate Studies _____ Date _____



SCHOOL OF
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Predoctoral Standing

A student who has not yet advanced to candidacy may begin 701 research registration with departmental approval. The student must have completed, or will complete in the following semester, all required coursework.

It is presumed that the student will take all exams the semester following the one in which Predoctoral Standing is granted.

A student with Predoctoral Standing may register for 1-6 credit hours of 701 research.

Once registration for 701 research begins, the student must register for 701 every semester until graduation.

Name _____ ID Number _____

Email _____ Phone _____

Department _____

Date of consent for initial 701 registration prior to formal candidacy _____

Signatures

Print Name of Research Advisor _____

Research Advisor _____ Date _____

Department Chair _____ Date _____

For Graduate Studies Use Only

Date Posted _____ Initials _____



SCHOOL OF
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Advancement to Candidacy

When a PhD student has successfully passed all examinations and met all departmental requirements, the student is advanced to candidacy and may begin 701 research registration. The School of Graduate Studies must be notified when a student advances to candidacy.

The student must have an approved Program of Study in the Student Information System for this form to be considered.

Once registration for 701 research begins, the student must register for 701 every semester until graduation.

Name _____ ID Number _____

Email _____ Phone _____

Department _____

Date of Advancement to Candidacy _____

The above named student has met all departmental requirements to advance to candidacy.

Signatures

Print Name of Research Advisor _____

Research Advisor _____ Date _____

Department Chair _____ Date _____

For Graduate Studies Use Only

Date Posted _____ Initials _____



SCHOOL OF
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Notification for Scheduling the Final Oral Exam for the PhD

Academic Regulations for Doctoral Examination

The composition of each student's examination committee must have formal approval by the Dean or Associate Dean of Graduate Studies. The examining committee must consist of four members of the University faculty (regular full-time appointments), including at least one whose primary appointment is outside of the student's department or school. Persons who are not members of the University faculty may serve as *additional* voting or non-voting members of the examining committee. Committee members who do have a CWRU appointment must be approved by the Graduate Dean, and their curriculum vitae submitted and reviewed. The committee is appointed by the Dean of Graduate Studies or Associate Dean on recommendation of the chair of the department, division or curricular program committee. The student's dissertation advisor **MUST** be a member of the committee and may serve as chair if consistent with departmental policy.

The student must provide to each member of the committee a copy of the completed dissertation at least **two weeks** prior to the examination so that all members have an opportunity to read and discuss the manuscript. The time and place of Final Oral Examinations must be announced to the University community **three weeks** in advance. Please note that all final examinations must be located in spaces considered public (seminar) classrooms (spaces, conference rooms, etc. unless otherwise approved; this excludes faculty office space). Any member of the University may be present at an examination. Others may be present by invitation of the Chair of the Examining Committee.

Return this form to the School of Graduate Studies office for approval by the Graduate Dean **no later than three weeks** prior to the date of your defense. Students must be registered for dissertation credit when the examination is held.

Please Note: All members of the committee must be present for the exam. Any dissertation defense conducted without submission of this notification form is invalid.

Name _____ ID Number _____

Department _____ Phone _____ Email _____

Address _____

IRB Approval Date _____

Dissertation Title:

(over)

APPENDIX

Exam Date _____ Time _____ Building _____ Room No. _____

Dissertation Advisor _____

This person must be listed as a voting member below.

List the voting members of your Examining Committee:

Examining Committee	Name	Title	Department
Committee Chair			
Member			
Member			
Outside Department Member			
Optional Member			
Optional Member			
Optional Member			



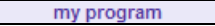
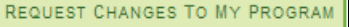
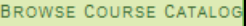
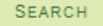
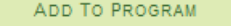



Dissertation Advisor Signature _____ Date _____

Approvals

Department Chair _____ Date _____


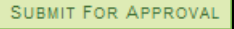
Dean of Graduate Studies _____ Date _____

Planned Program of Study: SIS Instructions for Students

1.	<p>Begin by opening the browser to the URL for the Student Information System Sign In.</p> <p>Enter your Case network ID into the User ID field and your associated Case Network ID password into the Password field</p>
2.	<p>Click the Sign In button.</p> 
3.	<p>The Student Center homepage appears. Click the Plan link.</p> 
4.	<p>The My Planner tab appears. Click the my program link.</p> 
5.	<p>The My Program tab appears. Click the Request changes to my Program button.</p> 
6.	<p>To add a course to the PPOS, click the Browse Course Catalog button.</p> 
7.	<p>The Browse Course Catalog search page appears.</p> <p>Enter the desired course subject code into the Course Subject field. For example, enter a valid value e.g. "anth".</p>
8.	<p>Click the Search button.</p>  <p>A list of all courses in that subject appears. Scroll down the page to see all courses.</p>
9.	<p>When you find a course you want to add to your PPOS, click in its checkbox in the Select column.</p> <input type="checkbox"/>
10.	<p>Select as many courses as you need, then click the Add to Program button.</p> <p><u>INCLUDE ALL 701 DISSERTATION CREDIT, 651 THESIS CREDIT, PROJECT CREDIT, TEACHING REQUIREMENT CREDIT, ETC.</u></p> 
11.	<p>You receive a confirmation message that the course has been added to your program.</p> <p>Click the my program link.</p> 
12.	<p>The newest courses appear at the top of your PPOS. To assign a new course to a term, click in its checkbox in the Select column.</p> <input type="checkbox"/>
13.	<p>Click on the Move selected courses to Term dropdown box.</p> 
14.	<p>Select the term that you plan to take this course.</p> 

Job Aid



15.	<p>Click the Move button.</p> <p></p> <p>You receive a confirmation message that the course was moved.</p>
16.	<p>When you are satisfied with your PPOS, click the Submit for Approval button.</p> <p></p>
17.	<p>The My Program tab changes. The Approval History shows that the PPOS was "Submitted for Approval." You cannot make any additional changes to the PPOS at this point.</p> <p>An email has been sent to your program advisor, telling them that a PPOS has been submitted by you for approval.</p>
18.	<p>Your advisor's decision regarding your revised PPOS will be reflected in the Approval History. You will also receive an email when a decision has been made.</p> <p>If it is approved, then the PPOS goes to the SGS for final approval.</p> <p>If the PPOS is denied by your advisor, then you can create another PPOS and submit it for approval. Earlier approved versions of the PPOS are still available and the last approved version is still your official PPOS.</p>
19.	<p>If your PPOS is approved by SGS, you will receive an email and see the approval in the Approval History of your PPOS.</p>
20.	<p>This completes the process of creating your PPOS.</p> <p>End of Procedure.</p>



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Waiver of Registration

Eligibility Criteria for Waiver of Registration

The School of Graduate Studies requires all students to be registered in the semester in which they graduate. For a student engaged in thesis or dissertation research, the completion of all requirements to graduate is not easily predicted making it difficult to adhere to scheduled deadlines. If a student will not be able to meet the degree requirements to graduate in one semester, but will finish before the next semester begins, the student can petition to waive registration for the following semester.

The following criteria must be met to be eligible for the Waiver of Registration:

- The student must be registered for at least one credit hour in the semester (or summer session) immediately preceding the semester of graduation.
- The student must complete and submit the Waiver form **on the reverse side**. International students must obtain the signature of an International Student Advisor (International Student Services) before submitting the form to the School of Graduate Studies.
- The student must apply for graduation in the Student Information System for the next scheduled graduation.
- The student must complete all degree requirements and submit all required materials to the School of Graduate Studies by the last day of the Add/Drop period of the graduating semester. This includes the thesis or dissertation, certification cards, signature sheets, surveys and all forms in the graduation packet.

Students must submit the Waiver of Registration form and all required documents no later than the final day of the Add/Drop period. The deadline date to submit materials is firm. If a student misses the deadline, the student will be required to register for at least one credit hour, or more if necessary.

Please be aware, when applying for the Waiver of Registration, the following services may be terminated during the semester for which the Waiver is effective:

- CWRUNet services
- Student loans
- Health services

If you have any questions regarding the tuition waiver policy, feel free to contact the School of Graduate Studies office at 216.368.4390.

Over

Petition for Waiver

Name _____ ID Number _____

Address _____

Email _____ Phone _____

Department _____ Degree _____

Based on completion and submission of all required materials for my degree before the last day of the Add/Drop period, I request a Waiver of Registraiton and permission to graduate in:

Fall of _____ Spring of _____ Summer of _____

I have completed the Application for Graduation in SIS for the above semester/session.

Student Signature Date _____

International Student Advisor Signature (International Students Only) Date _____

Return to the School of Graduate Studies for Dean's approval.

Dean of Graduate Studies Date _____

GRADUATE STUDENT RESOURCES FOR RESOLVING ACADEMIC AND OTHER CONCERNS

Potential area of Concern	Initial Considerations	Resources/Support	Polices	People
Advisor related concerns:				
Lack of communication with or response from advisor		GSS Mentee Guidebook for Students http://gss.case.edu/ind-ex.php	Check to see if this is addressed in your department's student handbook	<ol style="list-style-type: none"> 1. Advisor 2. Director of Graduate Studies 3. Department Chair
Clash of communication styles				
Lack of direction/mentoring				
Perceived bullying or general mistreatment	If issue is Sexual Harassment		http://studentaffairs.case.edu/handbook/policy/sexual/harassment.html	Sue Nickel Schindewolf, Assoc. VP, Student Affairs (216) 368-2020
	If issue is Discrimination, harassment or perceived mistreatment		http://studentaffairs.case.edu/handbook/policy/nondiscrimination.html	Dean Patterson. Assoc. VP, Student Affairs (216) 368-2020
	If issue is based on a disability		http://studentaffairs.case.edu/handbook/policy/disability.html	Susan Sampson, Associate Director, ESS disability@case.edu (216) 368-5230
	If issue is based on citizenship status		http://studentaffairs.case.edu/handbook/policy/nondiscrimination.html	Elise Lindsey, Director International Student Services (216) 368-2517 Dean Patterson, Assoc VP, Student Affairs (216) 368-2020
	If issue is not		http://studentaffairs.case.edu/handbook/policy/disability.html	1. Advisor

GRADUATE STUDENT RESOURCES FOR RESOLVING ACADEMIC AND OTHER CONCERNS

Potential area of Concern	Initial Considerations	Resources/Support	Policies	People
	related to sexual harassment, disability or discrimination concerns		dbook/policy/ethics.html	<ol style="list-style-type: none"> 2. Director of Graduate Studies 3. Department Chair
Academic Concerns				
	Lack of transparency with grading and/or evaluation		Graduate Studies Grievance Policy: http://www.case.edu/provost/gradstudies/current/policies.html	See Grievance policy for information
	Challenging a grade			
	Academic sabotage that keeps student from advancing in academic program in an effort to retain their assistance for research		Graduate Studies Grievance Policy: http://www.case.edu/provost/gradstudies/current/policies.html	See Grievance policy for information
	Issues related to being the only grad student in a cross-listed course			<ol style="list-style-type: none"> 1. Course Instructor 2. Advisor 3. Department Chair 4. Senior Associate Dean, Denise Douglas, Graduate Studies
	All courses that are cross-listed at the graduate and undergraduate levels must contain guidelines that specify the extra work that is to be completed by graduate students in the course			
Maternity/ Paternity Leaves	Issues related to how to request a maternity or paternity leave of absence		Graduate Studies Leave of Absence policy and form http://www.case.edu/gradstudies/current/forms.html	<ol style="list-style-type: none"> 1. Advisor 2. Department Chair 3. Senior Associate

GRADUATE STUDENT RESOURCES FOR RESOLVING ACADEMIC AND OTHER CONCERNS

Potential area of Concern	Initial Considerations	Resources/Support	Polices	People
	Issues related to the continuance of stipend.			Dean, Denise Douglas, Graduate Studies
Special Status Concerns				
	Non-degree seeking student			Senior Associate Dean, Denise Douglas serves as the advisor for graduate non-degree students. All concerns should be brought to her attention.
	Employee taking coursework	GSS Mentee Guidebook for Students http://gss.case.edu/ind-ex.php	http://www.case.edu/finadmin/humres/erelations/ Check to see if this is addressed in your department's student handbook	HR Employee Relations Senior Associate Dean, Denise Douglas serves as the advisor for graduate non-degree students. All concerns should be brought to her attention.
	Consensual Relationships	Determine if your concern can be addressed within your departmental structure based on the relationship between people in decision-making roles.	http://www.case.edu/president/aa-ction/consn_brochure2009.pdf	Office of Student Affairs (216) 368-2020

