



## University Senate Agenda

### May 2024 Meeting

TO: Members of the University Senate

FROM: Sarah Robinson, University Senate Chair, 2023-2024

SUBJECT: May 2<sup>nd</sup>, 2024, University Senate Meeting

DATE: April 26, 2024

The May 2024 meeting of the University Senate will be held on Thursday, May 2<sup>nd</sup>, 2024, from 3:30-5pm via Zoom. Voting members should use the personalized link they were sent to join the webinar as a panelist. Please check your clutter/junk/spam folder if you do not see the invitation in your inbox. A public link for visitors is posted on the Senate website and in the University Letter.

#### I. Call to Order (Chair Sarah Robinson)


#### II. Establish Quorum (Secretary Scott Correll)

#### III. Consent calendar:

1. Review and approve April 4<sup>th</sup>, 2024, meeting minutes (attached)
2. Budget Committee Annual Report (attached)
3. Online and Distance Education Annual Report (attached)
4. Essential Studies Annual Report (attached)
5. Additions to committee membership
  - a. Addition of Academic Advisor to Essential Studies
  - b. Addition of the Director of Government Relations and Public Affairs, ex officio member
6. Updates to Senate Bylaws (attached) (Sarah Robinson)
7. Misconduct in Scholarship Policy (attached) (Heather Wages)

#### IV. Business calendar:

1. GUEST Policy Updates (attached) (Karyn Plumm)
2. Committee on Committees run-off election
  - a. Sheila Netz (CNPD)



b. Julie Grabanski (SMHS)

3. Approve May Graduation List (attached)

**V. Announcements:**

1. Senate Executive Committee Report (Chair Sarah Robinson)

a. ES Program Review (attached)

2. UIT Updates (attached) (Phil Goldblum)

3. Chair of Ad Hoc SELF1 Committee (Dana Harsell)

4. Council of College Faculties update (Daphne Pederson)

5. Staff Senate update (Mike Wozniak)

6. Student Government update (Ella Nelson)

7. Updates from the Provost (Eric Link)

8. Question period (max 20 minutes)

**VI. Adjourn**

Minutes of the University Senate Meeting  
April 4, 2024

1.

The December meeting of the University Senate was held at 3:30 p.m. on Thursday, April 4, 2024, via Zoom Conference. University Senate Chair Sarah Robinson presided.

2.

The following members of the Senate were present:

Alberts, Crystal	Hoffmann, Mark	Nelson, Ella
Anderson, Sonya	Homstad, Stephanie	Newman, Robert
Anvari-Clark, Jeffrey	Hoppenrath, Joseph	Novak, Michelle
Azizova, Zarrina	Hove, Hannah	Oancea, Cristina
Bakke, Rebecca	Hume, Wendelin	Petros, Thomas
Beltz, Michael	Iseminger, Colt	Pokornowski, Alex
Bichel, Rebecca	Keengwe, Grace	Reading, Patrick
Bjorg, Renae	Kehn, Andre	Robinson, Sarah
Bjorggaard, Stacy	Kraus, Robert	Rundquist, Brad
Blankenship, Jonathan	Lawson-Body, Assion	Sauer, Michelle
Bowman, Frank	Lim, Yeo Howe	Seddoh, Amebu
Correll, Scott	Liu, Jun	Shogren, Maridee
Cox, Paula	Malloy, Art	Singhal, Sandeep
Dodge, Michael	Marquis, Jared	Smart, Kathy
Doze, Van	Maskaly, Jonathan	Sperle, James
Elderini, Tarek	Masursky, Danielle	Traynor, Paul
Emter, Adelyn	Mayo, Whitney	Urban, Shanna
Ferguson, Connor	Milavetz, Barry	Wintermute, Kaleb
Gjellstad, Melissa	Mongeon-Stewart, Karla	Wozniak, Mike
Grave, Shannon	Mosher, Sarah	
Grijalva, James	Munski, Douglas	

3.

The following members of the Senate were absent:

Anderson, Brynn	Legerski, Elizabeth	Richter, Justin
Armacost, Andy	Linder, Meloney	Saga, Lea
Dahlke, Rachel	Link, Eric	Snyder, Scott
Henley, Amy	Martin, Noelle	Swanson, Brenna
Hunter, Cheryl	Moritz, Sandra	Tande, Brian
Jendrysik, Mark	Nelson, Chris	Tatro, Lauren
Johnson, Amber	Pappas, Brian	Wallace, Alfred
Kempel, Sarah	Price, Samantha	Wynne, Joshua
Kinney, Anna Marie	Rajpathy, Odele	Zerr, Ryan

4.

Quorum was established.

5.

Without objection, the minutes from the University Senate on March 14, 2024, were approved.

6.

Ms. Robinson called attention to the University Curriculum Committee monthly report. Without objection, the report was filed.

7.

Ms. Robinson called attention to the University Senate Library Committee annual report. Without objection, the report was filed.

8.

Ms. Robinson called attention to the GUEST policy updates. Ms. Derenne presented on the changes. This most recent update aligns compliance with the ND SBHE policy. Mr. Dodge move to approve. Ms. Smart seconded. A discussion ensued. Ms. Smart withdrew her second. Ms. Mayo moved to table. Without objection, the proposal was tabled.

9.

Ms. Robinson provided a Senate Executive Committee report. The University Senate minutes are archived at the library in Scholarly Commons. There is a form available where anyone can nominate a speaker for University Commencement.

10.

Ms. Mongeon-Stewart and Mr. Johnson provided an update on the challenges recruiting and retaining Building Service Technicians. Following the pandemic office cleaning and whiteboard cleaning were suspended due to these shortages. Recourses were diverted to focus on front facing areas. There are about twenty-five vacant positions of approximately one hundred positions. There have been many strategies to provide competitive salaries and working conditions enhancements to improve these situations. Other ideas including autonomous equipment are being explored.

11.

Mr. Holm provided an update about CircleIN from questions that arose at the previous meeting.

12.

Mr. Harsell discussed updates from the ad hoc SELFIE committee. There are many charges, and it will take the committee about one to one and one-half years to complete.

13.

Ms. Alberts provided updates from the Council of College Faculties. Please provide feedback about the post-tenure review process. The CCF ballot is out there, please remember to vote.

14.

Mr. Wozniak provided a Staff Senate Update. Next week is a spring breakfast for overnight staff, and a luncheon for daytime staff.

15.

Ms. Nelson updated everyone on Student Government. A de-stress event is scheduled before finals. A coulee clean up event will occur this week. A meeting with city council occurred yesterday. Elections are coming up next week.

16.

Mr. Holm provided an update for Academic Affairs. The HLC site visit occurs on April 22-23. UND Commencement will occur soon. The Provost Office can assist with regalia rental or purchase.

17.

The twenty minute question and answer period began at 4:40 p.m. Ms. Mayo asked about how it reaches out to students. Why does it use a point system to gain participation? Mr. Holm talked about how it uses game theory to increase participation. Mr. Holm says the product allows opt out features. Mr. Marquis asked students who are using multiple products. What are the benefits achieved here? Mr. Holm stated that it requires authenticated login and is not required. Mr. Beltz asked if we chose an opt-out model versus an opt-in model. Mr. Holm stated we choose the opt-out model. Ms. Alberts inquired about online versus on-campus classes. Mr. Holm said he would find that data. Mr. Maskaly inquired about a permanent opt-out. Mr. Holm directed the question to a dean decision. Ms. Mayo asked about the financial benefit to invest in student success. Mr. Holm said her could research the answer. The question period ended at 5:00 p.m.

18.

The meeting adjourned at 5:00 p.m.

Scott Correll, Secretary  
University Senate

## Senate Budget Committee

### 2023-2024 Annual Report

Dawn Denny - Chair	2024	Faculty	CNPD	Voting
Laura Hand	2024	Faculty	NCoBPA	Voting
Steve Morrison	2024	Faculty	LAW	Voting
Amanda Haage	2026	Faculty	SMHS	Voting
Tim Young	2026	Faculty	A&S	Voting
Nicole Derenne	2026	Faculty	A&S	Voting
vacant	2027	Faculty	EHD	Voting
Hassan Reza	2027	Faculty	CEM	Voting
Matthew Gilmore	2027	Faculty	JDOSAS	Voting
Jennifer Schlinger	concurrent	Faculty (Curriculum Comm.)		Voting
Travis Clark	concurrent	Faculty (Online & Distance Ed.)		Voting
Tim Legg	concurrent	Faculty (Graduate Comm.)		Voting
Lori Robison	concurrent	Faculty (Essen. Stud. Comm)		Voting
Andria Spaeth	2025	Staff		Voting (3-year term)
Laura Vatnsdal	2024	Staff		Voting (3-year term)
Mason Maier	2024	Student		Voting (May)
Christine Stayman	2024	Student		Voting (May)
Zarrina Azizova	concurrent	Univ. Senate Vice Chair		Non-voting/advisory
Cindy Fetsch	concurrent	Assoc. Dir. Res. Plan. & Alloc.		Non-voting/advisory
Eric Link	concurrent	VPAA		Non-voting/advisory

### Committee Activities

The Senate Budget Committee (SBC) met 8 times during Academic Year 2023-2024. Meetings were held on Tuesdays, 4:30-6:00 pm via Zoom.

### Standing Items

- Provost updates: The Provost provided regular budget-related updates to the SBC, regarding budget-related activities underway in the Provost Office, pertinent issues of concern, and legislative activities pertinent to UND budget.
- Budget model updates: Representatives from the UND Office of Resource Planning and Allocation provided regular updates on the incentive-based budget process. In addition, the Strategic Investment Requests were administratively received through this office.

### Other Business

- Review of Committee Charge: Reviewed its committee charge through the lens of the new strategic plan and priorities in UND LEADS. The committee reviewed the recently revised charge and opted not to change it this year.
- Review of Strategic Investment Proposal Requests: The Committee revised the Strategic Investment Pool Request form and used the revised version to review the requests

received through a multi-step review process. On April 17, 2024, the Chair submitted a final report with the committee's final recommendations for funding to the Provost, who then shared with the President and the VPFO. For this cycle, five primary units requested \$4,287,300 in new funds through the six proposals distributed across the multiple years. Final decisions regarding which proposals will be funded are pending.

- Review of Facilities Master Plan: The Committee received an update from Mark Johnson (UND Interim Assoc. VP Facilities) and Les Bjore (UND Director of Planning & Design) regarding upcoming plans for physical changes in campus facilities anticipated in the coming year.
- Variance FY24 statement with FY23 historical data: Sarah Abentroth, Budget Manager, presented quarterly updates to the SBC regarding the most up-to-date budget variance reports with insight from historical data across primary units. Presentations to the SBC included review of budget-related historical trends illustrated using the budget trends dashboard in major income and expense categories across primary units.
- Chair Elect: The SBC has identified a Chair-Elect, Nicole Derenne from the College of Arts and Sciences, who has graciously agreed to serve as Chair for the next academic year, 2024-2025.

Respectfully submitted,

Dawn Denny, PhD, RN  
Associate Professor, Nursing  
Chair, University Senate Budget Committee

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## Members – 2023-24

Travis Clark, Chair (A&S)  
Rhoda Owens, Former Chair (CNPD)  
Michele Iiams, Chair Elect (A&S)  
Stacy Bjorgaard (CEM)  
Cerynn Desjarlais (CEHD)  
Laura Hand (NCoBPA)  
Karen Peterson (SMHS)  
Vacant (Law)  
Marcos Fernandez-Tous (JDOSAS)  
Joseph Jochman (A&S)  
Daphne Pedersen, A&S Dean's Office  
Jeff Holm (UND Online)  
Dara Faul (Academic Technologies & TTA DA)  
Lynette Krenelka (Office of Extended Learning & TTA DA)  
Madhavi Marasinghe (CIO)  
Jessica Gilbert Redman (Library Health Sciences)  
David Haberman (Thormodsgard Law Library)  
Harper Jackson (Chester Fritz Library)  
Stephanie Yarnell (Undergraduate Student-SPEA)  
Kristian Herman (Undergraduate Student)  
Constance McIver (Graduate Student)  
Laurie Hart, Minutes (Office of Extended Learning & TTA DA)

## Review of Goals

### Goals for the 2023-2024 Academic Year were as follows:

1. Communicate online instruction faculty development opportunities to department faculty that are offered by UND, TTaDA, and other outside organizations.
2. Use UND's LEAD Strategic plan and its five strategic pillars as a guide to inform the committee's initiatives and recommendations related to online education courses, faculty support and professional development, and supportive student learning environments.
3. Advise UND Online and TTaDA in determining initiatives based on UND's NSSE 2023 Topical Module Report Experiences with Online Learning given to first year and senior students.
4. Advocate for work with Colleges/Academic Departments to support Universal Design for Learning and best practices for course design. This will enhance accessibility for all learners.

### Summary of Committee Activities for 2023-24

The Senate Online and Distance Education Committee met 7 times per Zoom during the 2023 - 2024 academic year (more specifically between September and April – no meeting in December). Travis Clark served as Chair for the 2023-2024 Academic Year and Michele Iiams was elected as Chair-Elect and will serve as Chair for the 2024-2025 Academic Year.

- During the Fall semester, the committee reviewed technology and training changes implemented in the last year. This included gathering information from departments whose faculty are undergoing or have undergone a course review of online courses. The committee discussed the upcoming change from Blackboard to Blackboard Ultra, with the Teaching Transformation and Development Academy (TTADA) now offering training sessions for faculty to ease the transition. Jeff Holm and CircleIn representatives have kept the committee apprised of the ongoing CircleIn trial period at UND; CircleIn is an app (and website) that provides a space for online students to self-organize into social or learning communities.
- During the Spring semester, the committee initiated conversations about aligning committee goals with the UND LEADS strategic plan.
- The committee received information from several UND stakeholders about the rise of A.I. technology in general and in the classroom. UND Libraries communicated about new resources that utilize A.I. and/or created guides for student and faculty on ethical

use of A.I. tools such as generative language models (e.g., Bard, ChatGPT). TTaDA communicated and received feedback from faculty voices for upcoming workshops on A.I. use and policies in the classroom.

- The committee served as a forum for members. Committee work focused on updates about the ongoing challenges associated with online student access to academic technologies, involvement in the campus community, and challenges associated with new A.I. technologies. Faculty development opportunities on best practices for online/distance students offered by TTaDA were communicated to members. Committee members advised UND Online, TTaDA, and Senate as related to the committee's charge and goals. All pertinent information was communicated and disseminated to colleges and departments by committee members.
- The committee addressed Goal #1 by serving as a source of cross-communication between faculty, senate, and other units.
- The committee addressed Goal #2 by seeking to address several specific LEADS subgoals including:
  - Learning: Enhance physical and virtual learning spaces to ensure faculty and students have the tools and resources necessary for productive and enriching educational experiences. *The committee is evaluating new services, like CircleIn, to strengthen connections between online students and the UND learning community.*
  - Equity: Implement flexible working and learning options that make UND more accessible to a broader, more diverse population. Work to meet the changing needs of our students and employees with a commitment to access and inclusion. *The committee granted membership to a Self-Paced Enroll Anytime student and advocate this year to facilitate discussions specific to those courses.*
  - Affinity: Globalize our campus community by increasing recruitment and retention efforts and support for international students studying at UND and for domestic students who participate in study abroad. We will embrace environments where people from unique cultures and backgrounds can interact, be valued, and know they belong. *The committee started conversations this Spring about on-campus events that can be more accessible to our global UND community.*
- The committee addressed Goal #3 and Goal #4 by communicating student needs across departments and administrative units.

**Goals for the 2024-2025 Academic Year are as follows:**

1. *Learning.* Communicate online instruction faculty development opportunities to department faculty that are offered by UND, TTaDA, and other outside organizations.

2. *Equity.* Continue to investigate and promote technologies and partnerships to increase communication and connection among online students.
3. *Affinity.* Pursue and promote events that share UND's rich culture and community with UND community who are no longer able to attend local events.
4. *Discovery.* Promote the adoption of policies and initiatives that invite UND students to engage with new technologies, such as generative A.I., without sacrificing quality in remote instruction.
5. *Service.* Continue to investigate the efficacy of UND partnerships, such as RIIPEN, that allow UND students to interact with and serve the community in remote locations.

DRAFT

# Memo

**To:** Sarah Robinson, Chair, University Senate

**From:** Nicole Derenne, Chair, Essential Studies Committee

**cc:** Scott Correll, Registrar; Karyn Plumm, Director, Essential Studies Committee

**Date:** March 28, 2023

**Re:** ES Report

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The Essential Studies Committee met twice a month throughout 2023 (except during summer) and members include: Ramkumar Mathur, SMHS; Hassan Reza, CEM; Nicole Derenne (Chair), A&S; Jody Paulson (Past Chair), A&S; Lee Ann Williams, EHD; Gary Ullrich (chair-elect), JDOSAS; Amanda Nagy, A&S; Stephanie Homstad, CNPD; Lori Robison, A&S; Rebecca Simmons, A&S; Krista Lynn Minnotte, A&S; Yanjun Zuo, BPA; Karina Knutson, VPAA; Brad Rundquist, Dean's representative; Christina Fargo, Registrar's Office; Scott Correll, Registrar's Office; Kristen Borysewicz, Chester Fritz Library; Ireland Hanson, administrative support; Karyn Plumm, Director.

The Essential Studies Committee decided on 14 student petitions during Spring 2023, Summer 2023, and Fall 2023. Eight were approved and 6 were denied. This continues to be a reduction in student petitions compared to the previous three years.

The Essential Studies Committee reviewed courses by departments due for revalidation and approved 74 course revalidations for Fall 2023. See attached. The Essential Studies Committee reviewed courses submitted for validation and approved 32 course validations for Fall 2023. See attached.

Data was collected for the assessment of the ES learning goals for "Oral Communication" during Spring 2023 and for "Intercultural Knowledge & Skills" for Fall 2023. All assessment reports for ES can be found on the website: <https://und.edu/academics/essential-studies/assessment.html>.

The Essential Studies Committee worked to embed and implement the SBHE Policy 461 to create a new Special Emphasis requirement within ES. This proposal was approved by the committee and University Senate after months of work by a steering committee and faculty working groups. The new requirement will be published in the Fall 2024 academic catalog.

## BYLAWS OF THE UNIVERSITY SENATE

### **MEMBERSHIP**

1. The University Senate shall consist of the following: Ex-Officio members, Council members elected by the Council, student members elected by the students and staff members elected by Staff Senate.

The total number of elected Council members on the Senate shall be three times the number of ex-officio members. The Council members of each professional school or college and the libraries shall elect two Senate members with the exception of the College of Arts and Sciences, which shall have the right to elect eight senators, two each from the areas of Natural and Physical Sciences, Humanities, Social Sciences and Fine Arts; the balance of the faculty membership of the Senate shall be elected at large by the Council. One of the faculty-at-large positions will be held by the incoming Chair of the Senate to assure that the Chair is a voting member of the Senate.

2. The procedure for electing Senate members at large shall be as follows:
  - a. By no later than the first week of April each year, the Registrar shall distribute to members of the Council a nominating list of those eligible to serve on the Senate and shall state the number to be elected at large according to the provisions of the Constitution and this legislation.
  - b. Each member of the Council may indicate his/her choices for nomination by choosing from the list of nominees not to exceed in number the number of vacancies to be filled; any nomination list choosing more than the number to be elected at large shall be void.
  - c. Those equal in number to twice the number to be elected who shall have received the most nominating votes shall be declared nominees.
  - d. A list of these nominees shall constitute the ballot which will be distributed to all members of the Council; each member shall vote for a number of nominees not to exceed the number to be elected; any ballot choosing more than the number to be elected at large shall be void.
  - e. The Registrar shall prescribe the time and method for returning marked ballots and nominating lists and shall count and tabulate the same, providing that all nominating and balloting shall be secret, and these election procedures shall be completed before the third week of April.
3. The procedure for electing faculty members by each school or college faculty and the term of office thereof shall be as follows:
  - a. By no later than the third week of April of each year each school or college and the libraries shall provide for the nomination and election by the Council members of his/her school, college, or the libraries to the Senate two Council members who shall have been listed by the Registrar as eligible to serve on the Senate in accordance with Section 2a, in such a manner as the dean/director shall prescribe, providing that the voting for the nominated candidates shall be by secret ballot, with the exception of the College of Arts and Sciences, which shall have the right to elect eight senators, two each from the areas of Natural and Physical Sciences, Humanities, Social Sciences, and Fine Arts.
  - b. Only those of the respective faculties who are qualified to be members of the Council shall be entitled to vote.

- c. Such Senate members shall hold office for one year and shall not serve consecutively for more than three terms. In the event of a vacancy in such Senate seat, the faculty concerned may at any time hold a special election, in the same manner as provided in Section 3a, to fill the vacancy.
  - d. In the event the faculty of a school, college, or the libraries should desire to waive its right to elect members to the Senate, it shall so notify the Council prior to the regular April elections held by the Council, and the Council shall then nominate and elect one or more of its members to serve for the one-year term of the seat involved along with the regular members at large elected by the Council.
4. Members at large shall hold office for two years, and shall not serve consecutively for more than two terms. Representatives of schools or colleges shall hold office for one year and shall not serve consecutively for more than three. No elected member, however, shall serve consecutively for more than four years.
  5. September 1 of each year shall be the date upon which all terms due to expire in a particular year shall expire, and upon which new terms of those elected earlier in the calendar year at regular elections shall commence. In the event that a Senator elected at-large is unable to perform his/her duties, the person receiving the next highest number of votes shall serve. College representatives who are unable to perform his/her duties shall be replaced using procedures determined by the college. The pool of eligible candidates will be those individuals entering at least their second year on August 16 of the next academic year.
  6. Procedure for selecting student members of the University Senate:  
  
The Student Senate will provide for the selection of fourteen student members to the University Senate and will also provide the duration of their terms of office. Starting dates will be the same as for other University Senate members.
  7. Procedure for electing staff members of the University Senate:  
  
The Staff Senate will provide for the election of three staff members to the University Senate and will also provide for the duration of their terms of office. Starting date will be the same as for other University Senate members.

### **OFFICERS**

At the first meeting of the seating of the new members of the Senate, the Chair Elect will assume the position of the Chair. A Vice Chair/Chair Elect shall be elected from the elected members. The Vice Chair/Chair Elect shall serve a term of one year, and then automatically assume the role of Chair of University Senate the next year. Unless otherwise elected as a Senator, the Senate term of the Senate Chairperson will be extended for the year of service as Chair. The one-year extension shall be allocated from the number of at-large Senate seats. Nominations shall be made by the Committee on Committees which must name at least two nominees for each position. The chair must always ask for nominations from the floor. In the event of any vacancy in the office of Chair, the Vice Chair/Chair Elect shall become the Chair. In the event of any vacancy in the office of Vice Chair/Chair Elect, the Committee on Committees shall at the next regular meeting of the Senate nominate at least two elected members, the Chair must ask for nominations from the floor, and the Senate shall elect a new Vice Chair/Chair Elect from all the nominees.

### **MEETINGS**

1. Items for the agenda shall be in the hands of the Secretary of the Senate not later than 14 days (exclusive of holidays) before a Senate Meeting. The agenda shall be distributed one full week before each Senate meeting to all faculty, student body and staff representatives. Items not included in the agenda may not be considered at a meeting except with the special consent of the Senate. Only members of the Senate

may submit items for the agenda.

2. The Senate's official guide for parliamentary procedure shall be the "Standard Code of Parliamentary Procedure" by Alice F. Sturgis.
3. The minutes of all Senate meetings shall be distributed to the members of the Senate and shall be available to all members of the faculty.

### COMMITTEES

#### 1. Executive Committee

There shall be an Executive Committee of the University Senate. It shall consist of these members of the Senate: the Chairperson; the Vice Chairperson/Chair Elect, the immediate past Chairperson, whether or not still a member of the Senate (if this individual is unable to serve, then the available past Chairperson who most recently served as chairperson shall serve); three faculty representatives, one to be elected each year for a two-year term, and one, the member of the Council of College Faculties serving the third year of a three-year term (if this individual is unable to serve, then a substitute will be chosen from the remaining UND Council of College Faculties by the UND Council of College Faculties delegation); the Vice President for Academic Affairs; one student, elected annually; ~~two staff~~ representative, elected annually; and the Registrar. The Registrar shall serve as Secretary of the Executive Committee. The functions of the Executive Committee are to:

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- a. call special meetings of the Senate;
- b. change the time of the regular meeting in emergencies;
- c. prepare the agenda;
- d. act on behalf of the Senate when a meeting of the Senate does not seem justified or when such a meeting is prevented by lack of a quorum. Subsequent to the action taken by the Executive Committee, the Committee will report to the next meeting of the Senate to seek approval for the action that was taken by the Committee;
- e. monitor the implementation of Senate legislation;
- f. coordinate action between the Senate and its committees;
- g. ~~\_\_\_\_\_~~
- h. care for the Senate bylaws by keeping them current;
- i. care for the University Constitution, attending specifically to publication, distribution, amendment, and interpretation;
- j. care for the Standing Rules, exercising the sort of supervision directed for the bylaws;
- k. codify Council and Senate legislation, publishing the codified legislation at the direction of the Senate;
- l. maintain the University Senate Committee Manual;
- m. exercise the constitutionally-granted authority of the Senate in the following cases:
  - Student requests for a graduation date other than at winter, spring or summer commencement;
  - Dean of Students Office requests for changes to the Code of Student Life

Deleted: edit, publish, and keep current the Faculty Handbook;¶

For each such action taken by the Executive Committee, the Committee will report on the action at the next meeting of the Senate after which the action was taken.

#### 2. Permanent and ad hoc committees

The Executive Committee created by these bylaws is a permanent committee of the Senate. The Senate may create such other permanent and such ad hoc committees as it deems necessary and convenient to the conduct of its business. Other permanent committees may be created only by the Senate, after reasonable notice, at a regular or special meeting, and shall continue until dissolved by the Senate at a regular or special meeting following reasonable notice. Ad hoc committees may be created by the Senate

at any meeting or by the Executive Committee, and shall continue until the delegated responsibility is



accomplished or until dissolved by the creating authority.

#### **AMENDMENTS**

Amendments to the Senate bylaws may be submitted in the agenda at any regular meeting but shall not be acted upon until the next regular meeting.

(Senate Minutes pages 10, 11, 12, 14, 17, 56, 251, 254, 279, 596, 641, 773, 856, 935, 958, 961, 962, 1224, 1367, 1531, 1698, 1742, 2535, 2913, 3236, 3237, 4156, 5111, 5174)

05/09/94; amended 02/05/98; 11/2/00; 01/11/01; 2/5/04; 2/5/09; 4/07/11; 11/1/12; 12/4/14

**UNIVERSITY of NORTH DAKOTA  
RESEARCH & ECONOMIC DEVELOPMENT POLICY LIBRARY**

**MISCONDUCT IN SCHOLARSHIP (CREATIVE ACTIVITY)**

Section 1, Research  
Policy 9, Misconduct in Scholarship  
Responsible Executive: VP Research & Economic Development  
Responsible Office: VP Research & Economic Development  
Issued: May 3, 2016  
Latest Review / Revision: May 3, 2016



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**POLICY STATEMENT**

1. INTRODUCTION

Scholarship is defined as all creative activity that supports the intellectual endeavors of the University of North Dakota (UND/University). The integrity of the scholarship process is an essential aspect of a university's intellectual and social structure. Although incidents of misconduct in scholarship are rare, those that do occur threaten the entire Scholarship enterprise.

The integrity of the Scholarship process must depend largely upon self-regulation. All members of the University Community, including all faculty, staff, administrators, and students, both full and part time, who are affiliated with the University, share responsibility for following the implemented standards to assure ethical conduct in scholarship, integrating these standards into their own work and reporting any abuse of the standards by others. This policy formalizes the rights and responsibilities of the University and University Community in conducting scholarship. The University is responsible for promoting practices that prevent misconduct and also for developing policies and procedures for dealing with allegations of misconduct.

It is important to create an atmosphere that encourages openness and creativity. It is particularly important to distinguish misconduct in Scholarship from the honest error and the ambiguities of interpretation that are inherent in the scholarship process. The following policies and procedures apply to faculty, staff and, in certain circumstances, students. These policies are not intended to address all academic issues of an ethical nature such as discrimination and affirmative action which are covered by other University policies.

Inquiries regarding this Policy may be directed to the Vice President for Research & Economic Development office.

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**REASON FOR POLICY**

2. ETHICAL STANDARDS

The primary way to encourage appropriate conduct in scholarship at the University is for the University Community to promote and maintain a climate consistent with ethical standards. To reduce the likelihood of misconduct and promote high quality in scholarship, the University Community should promote and facilitate the following:

2.1. Commitment to Intellectual Honesty

This commitment to intellectual honesty is evidenced by adherence to standards of the discipline and the University including but not limited to, submission of work to peer review; avoidance of conflicts of interest fraud, and bias; scholarly exchange of ideas and data; and self-regulation.

2.2. Responsibility of Scholarship Supervisor

Supervisors of Scholarship should serve as mentors in conveying the ethics and responsibilities underlying scholarship. Mentoring relationships between academic leaders and new practitioners should serve to enhance the transmission of ethical standards.

2.3. Appropriate Assignment of Credit and Responsibility

Authors or creators should recognize the contributions of others through adequate citation and/or acknowledgment. They should also name as authors or creators only those who have had a genuine role in the scholarship and who accept responsibility for the quality of the work being reported or presented.

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## SCOPE OF POLICY

This policy applies to all members of the University Community and should be read by:

- |                                        |            |
|----------------------------------------|------------|
| ✓ President                            | ✓ Faculty  |
| ✓ Vice Presidents                      | ✓ Staff    |
| ✓ Deans, Directors & Department Chairs | ✓ Students |
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**RELATED INFORMATION**

NSF Responsible Conduct of Research (RCR)	<a href="http://www.nsf.gov/bfa/dias/policy/rcr.jsp">http://www.nsf.gov/bfa/dias/policy/rcr.jsp</a>
UND Code of Conduct	<a href="http://und.edu/president/_files/docs/code-of-conduct.pdf">http://und.edu/president/_files/docs/code-of-conduct.pdf</a>
SBHE Officer and Employee Code of Conduct	<a href="http://ndus.edu/makers/procedures/sbhe/default.asp?PID=215&amp;SID=4">http://ndus.edu/makers/procedures/sbhe/default.asp?PID=215&amp;SID=4</a>
UND Code of Student Life	<a href="http://und.edu/student-affairs/code-of-student-life/">http://und.edu/student-affairs/code-of-student-life/</a>
UND Conflict of Interest Policy	<a href="http://und.edu/research/_files/docs/policy/1-8-conflict-of-interest-policy.pdf">http://und.edu/research/_files/docs/policy/1-8-conflict-of-interest-policy.pdf</a>
NIH Policy Statement	<a href="http://grants.nih.gov/grants/policy/nihgps_2013/">http://grants.nih.gov/grants/policy/nihgps_2013/</a>
NIH and NSF are examples, but each agency may have its own Policy.	

**CONTACTS**

General questions about this policy should be directed to your department’s administrative office. Specific questions should be directed to the following:

Subject	Contact	Telephone	E-Mail / Web Address
Policy and Procedure Content Clarification	Research Development & Compliance	777-4278	<a href="http://und.edu/research/resources/index/">http://und.edu/research/resources/index/</a>

**DEFINITIONS**

<b>Allegation</b>	
Allegation: any statement, describing possible Misconduct in scholarship, made to an institutional official.	
<b>Committee of Investigation (CoI)</b>	
The CoI: three member panel who gather and examine evidence during the Investigation.	
<b>Complainant</b>	
Complainant: individual (s) who brings an Allegation of Misconduct in scholarship.	
<b>Counsel</b>	
Counsel: a Support Person who is either an attorney or otherwise has legal training.	
<b>Days</b>	
Days: all references to Days mean business days.	
<b>Disposition</b>	
Disposition: the final decision of the VPAA resolving the Allegation of Misconduct in Scholarship.	
<b>Falsification of Data</b>	
Falsification of data: manipulating Scholarship materials, equipment, or processes, or changing or omitting data or results such that the Scholarship is not accurately represented in the Scholarship record.	
<b>Fabrication of Data</b>	
Fabrication: making up data or results and recording or reporting them.	

<b>Improprieties of Authorship</b>	
Improprieties of authorship: the improper assignment of credit, such as: excluding other authors; inclusion of individuals as authors who have not made a definite contribution to the work; or submission of multi-authored publications without the knowledge of all authors.	
<b>Inquiry</b>	
Inquiry: information gathering and initial fact-finding to determine whether an allegation or apparent instance of misconduct in scholarship warrants an investigation.	
<b>Inquirer</b>	
Inquirer: person performing an inquiry.	
<b>Institutional Charge</b>	
Institutional Charge: the formal charges of misconduct arising from the Inquiry.	
<b>Integrity Officer</b>	
Integrity Officer: person responsible to ensure compliance with this policy.	
<b>Investigation</b>	
Investigation: the formal examination and evaluation of all relevant facts to determine if misconduct in scholarship has occurred.	
<b>Misappropriation of Intellectual Property</b>	
Misappropriation of intellectual property: the unauthorized possession or use of proprietary information however obtained.	
<b>Misconduct in Scholarship</b>	
Misconduct in Scholarship: any form of behavior which entails scholarship fraud, scientific misconduct, negligence, misrepresentation, or an act of deception. Misconduct in Scholarship is distinguished from honest error and from ambiguities of interpretation that are inherent in the Scholarship.	
<b>Office of Research Integrity</b>	
Office of Research Integrity: the federal agency organized under the U.S. Department of Health and Human Services, the Office of the Secretary of Health and Human Services and the Office of Public Health and Science.	
<b>Plagiarism</b>	
Plagiarism: the misappropriation of the work of another or one's own work and its misrepresentation as one's own original work, Plagiarism does NOT require intent i.e., lack of awareness does not excuse responsibility for upholding these standards.	
<b>Respondent</b>	
Respondent: the person against whom an allegation of misconduct is made.	
<b>Scholarship</b>	
Scholarship: all creative activity that supports the intellectual endeavors of the University.	
<b>Support Person</b>	
Support Person: may accompany a Complainant or Respondent to the interview, but cannot be an individual who can potentially be called as a witness during the course of an Inquiry or Investigation. A Support Person may also be Counsel.	
<b>University Community</b>	
University Community: all faculty, staff, administrators, and students, both full and part time, who are affiliated with the University of North Dakota, and involved in Scholarship.	
<b>VPAA/VPHA</b>	
VPAA: the Vice President for Academic Affairs or a designee.	

<b>VPRED</b>	
	VPRED: the Vice President for Research and Economic Development (VPRED) or a designee.
<b>Witness</b>	
	Witness: a person who has special knowledge relative to the Allegation and may be called during the investigation. A witness must not be a Support Person.

GENERAL PROVISIONS

1. Principles

The following principles shall guide the review of Allegations of Misconduct in Scholarship at the University:

- 1.1. The process must avoid damage to Scholarship.
- 1.2. The University will provide leadership in the pursuit and resolution of all charges.
- 1.3. Process will be provided to all parties under UND and State Board of Higher Education (SBHE/Board) policies and procedures. All parties will be fairly treated and their reputations guarded by providing confidentiality to the extent possible under UND and SBHE policies and procedures, applicable state and federal requirements, and the North Dakota Open Records Act.
- 1.4. Conflicts of interest will be avoided.
- 1.5. Allegations will be resolved as expeditiously as possible.
- 1.6. The University will document its actions at each stage of the process.
- 1.7. The University will pursue Allegations within the scope of this Policy without regard to whether related civil or criminal proceedings have been initiated. The University may, at its option, suspend the Inquiry/Investigation temporarily, but is not under obligation to do so, as the standards of the University may differ from those of the courts.
- 1.8. To the extent feasible and reasonable, the University will pursue the Allegation of Misconduct in Scholarship to its conclusion, even if the Respondent leaves or has left the University before the matter is resolved.
- 1.9. The University will not permit retaliation in any form against complainants, witnesses, or committee members. Individuals should immediately report any alleged or apparent retaliation against complainants, witnesses or committee members to the Integrity Officer, who shall review the matter and, as necessary, make all reasonable and practical efforts to counter any potential or actual retaliation and protect and restore the position and reputation of the person against whom the retaliation is directed.

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2. Allegations Involving Students

The Allegation must be reported to the Integrity Officer who will make the decision as to whether the complaint should be handled in accordance with the procedures as stipulated in the *Code of Student Life* or the procedures as provided in this Policy. If the decision is to proceed utilizing the *Code of Student Life* process, the allegation will be forwarded to the Dean of Students or their designee..

3. Reporting Allegations of Misconduct in Scholarship

A Complainant may make Allegations of Misconduct in Scholarship, in writing or orally to any faculty member or administrator. All Allegations must then be reported to the Integrity Officer by the person who receives it.

4. Sanctions

If misconduct is found by the CoI, the VPAA may take actions and/or impose sanctions depending on the severity of the misconduct. If the Respondent is a faculty member in the School of Medicine and Health Sciences, the Vice President for Health Affairs will be notified appropriately during the proceedings and will be responsible for

*UND Research & Economic Development Policy Library*

*Section 1, Research*

*Misconduct in Scholarship 9*

[determining appropriate action or sanctions if misconduct is found by the COI.](#)

5. Appeal

Appeals may be made according to the procedures outlined below.

*The following provisions are procedures amendable by the Conflict of Interest/Scientific Misconduct Committee as appropriate. Amendments to procedures do not require University Senate approval. However, the Conflict of Interest/Scientific Misconduct Committee shall inform the University Senate of amendments to these procedures in a timely fashion.*

## PROCEDURES FOR DEALING WITH ALLEGATIONS OF MISCONDUCT IN SCHOLARSHIP

### 1. Pre-Inquiry Review

#### 1.1. Initial review by the Integrity Officer

- 1.1.1. Upon receipt by the Integrity Officer of an Allegation of Misconduct in Scholarship, the Integrity Officer will conduct a pre-inquiry review of the Allegation within 20 days to determine whether:
  - 1.1.1.1. the Allegation is within the purview of this Policy;
  - 1.1.1.2. other policies and procedures, such as those relevant to employment grievances, should be invoked;
  - 1.1.1.3. the Allegation is outside the purview of the University;
  - ~~1.1.1.4. the Allegation is clearly without substance;~~
  - 1.1.1.5. the Allegation is sufficiently credible and specific so that potential evidence of misconduct may be identified.
- 1.1.2. If an Inquiry is determined to be unwarranted, the Integrity Officer shall prepare an internal memorandum-for-file including a statement of the Allegation and the rationale for not conducting an Inquiry. After the resolution of the Allegation of Misconduct in Scholarship this memorandum shall be kept secure pursuant to the University's records retention schedule. A copy shall be given to the VPAA, VPRED, Respondent, and Complainant.
- 1.1.3. If an Inquiry is determined to be warranted, the Inquiry process will be initiated.

#### 1.2. Notification of Respondent

Within 5 Days of the determination that an Inquiry is warranted, the Integrity Officer, shall:

- 1.2.1. notify (Notification #1) the Respondent, the VPAA, VPRED, University's Office of General Counsel and appropriate Dean(s) of the Allegation;
- 1.2.2. notify all parties of the procedures that will be used to examine the Allegation;
- 1.2.3. appoint an Inquirer, who must be a tenured faculty member at the rank of associate or full professor, is without conflict of interest, and has appropriate expertise to evaluate the information relative to the case; and
- ~~1.2.4. notify all parties of the proposed Inquirer and ask all parties to identify any real or potential conflict of interest between the proposed Inquirer and the parties involved in the Allegation.~~
- 1.2.5. If the Inquiry subsequently identifies additional respondents, the University will make a good faith effort to the newly named respondents at the time of, or before the commencement of, Inquiry proceedings.

#### 1.3. Precautionary Actions. As the University is responsible for protecting the health and safety of

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Scholarship subjects, students, and staff, interim administrative action prior to conclusion of the Inquiry and, if necessary, the Investigation may be indicated. Such action ranging from slight restrictions through complete suspension of the Respondent or the Respondent's Scholarship and notification of external sponsors, if indicated, will be initiated by the VPRED in collaboration with the VPAA. Sanctions that prevent the Respondent from fulfilling his/her obligations as an employee of the University shall not be imposed during the Inquiry or Investigation phases unless

it is necessary to prevent harm to the Respondent or to others. Factors to be considered in determining the timing of such actions include the following:

- 1.3.1. There is an immediate health hazard involved;
- 1.3.2. There is an immediate need to protect federal or state funds or equipment;
- 1.3.3. There is an immediate need to protect the interests of the Complainant or Respondent as well as co-investigators and associates, if any;
- 1.3.4. It is probable that the Allegation will be reported publicly;
- 1.3.5. There is reasonable indication of possible criminal violation.

## 2. Inquiry Phase

### 2.1. Purpose

- 2.1.1. In the Inquiry phase, factual information will be gathered and expeditiously reviewed to determine whether or not a further investigation of the charge (Investigation phase) is warranted. The Inquiry phase is designed to separate Allegations deserving of further investigation from frivolous, malicious, unjustified, or clearly mistaken Allegations.

### 2.2. Process and Structure

- 2.2.1. The Integrity Officer will provide the Inquirer and the Respondent with copies of all relevant documents. During the Inquiry, the Integrity Officer and the Inquirer will be responsible for maintaining the confidentiality of the information obtained and the security of relevant documents. After the resolution of the Allegation of Misconduct in Scholarship, originals of all documents and related communications are to be securely maintained in the Office of the VPRED pursuant to the University's records retention schedule.
- 2.2.2. Responsibilities of the Inquirer:
  - 2.2.2.1. Records of the Inquiry are to be stored securely throughout the Inquiry and, at the end of the Inquiry, transferred to the Integrity Officer.
  - 2.2.2.2. If there is a need for interviews, the interviews must be recorded and, upon request, made available to involved parties after the completion of the Disposition Phase.
  - 2.2.2.3. Information, expert opinions, records, and other pertinent data may be requested by the Inquirer. All involved individuals are expected to cooperate with the Inquirer by supplying such requested documents and information.
  - 2.2.2.4. The Inquiry phase will be completed within 40 Days of its initiation. If the Inquirer determines that circumstances clearly warrant an extension of time, a request for such an extension must be forwarded to the Integrity Officer. If the Integrity Officer grants the request, the Inquirer will notify all relevant parties of the extension, including the VPAA, and VPRED. The record of the Inquiry will include the rationale for exceeding the 40 Day period.
  - 2.2.2.5. As the Inquiry is intended to be expeditious, individuals are expected to speak for themselves, but may be accompanied by an Advisor. If any individual chooses to bring Counsel, the University's Office of General Counsel must be notified in advance and must be present during the meeting.

2.3. Findings

2.3.1. The completion of an Inquiry is marked by a determination of whether or not an Investigation is warranted. The report of the Inquirer will be conveyed in writing to the Integrity Officer who will be responsible for communicating the findings to the Respondent and Complainant within 5 Days of receipt of the report in writing. The same report will be sent to the VPAA, VPRED, Office of General Counsel, and appropriate Dean(s). The report of the Inquirer shall specify the information that was reviewed, summarize relevant interviews, and include the conclusions of the Inquiry. The Inquirer will make a recommendation to the Integrity Officer as to whether an Investigation is warranted. The Inquirer shall not recommend that an Investigation occur unless he/she concludes, based on the sufficient information for each Allegation, that the Allegation justifies an Investigation.

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2.3.2. The Respondent shall be given the opportunity to comment in writing (Notification #2) upon the findings and recommendations of the Inquirer. If the Respondent chooses to comment, such comments shall be forwarded to the Integrity Officer as soon as possible but no later than 15 Days from the date of notification of the findings by the Integrity Officer. The Respondent's comments will become part of the Inquiry record. Within 15 days of receiving the comments from the Respondent, the Integrity Officer will determine whether to proceed with an Investigation.

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2.3.3. If the Integrity Officer determines that the Allegation was frivolous, malicious, unjustified, or clearly mistaken, and therefore, that an Investigation is unnecessary the Integrity Officer shall prepare an internal memorandum-for-file including a statement of the Allegation and the rationale for not conducting an Inquiry. After the resolution of the Allegation of Misconduct in Scholarship this memorandum shall be kept secure pursuant to the University's records retention schedule. A copy shall be given to the VPAA, VPRED, the Respondent, and the Complainant.

2.3.4. If the Integrity Officer determines that an Investigation should be conducted, the Integrity Officer will initiate the Investigation phase. Prior to notifying the Respondent of the allegations, the Integrity Officer shall take all reasonable and practical steps to obtain custody of, inventory and sequester in a secure manner all research records and evidence need to conduct the research misconduct proceeding that were not previously sequestered during the Inquiry. On or before the date on which the Investigation begins, the Integrity Officer must: (1) notify any sponsoring agency or funding source, including the Office of Research Integrity, if appropriate, and (2) notify the Respondent in writing of the allegations to be investigated, and provide the Respondent with both a copy of the Inquiry Report and links to applicable regulations and policies. The Integrity Officer must also give the Respondent written notice of any new allegations of research misconduct within a reasonable amount of time of deciding to pursue allegations not addressed during the Inquiry or in the initial notice of Investigation.

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2.4. Issues Unrelated to the Inquiry

2.4.1. If, in the course of its Inquiry, the Inquirer finds an issue unrelated to the Inquiry, the Inquirer shall inform the Integrity Officer, who may send a separate letter to the administrator who has the authority to act on the information. This unrelated issue should not be contained in the official Inquirer report nor should the letter to the administrator reveal the subject matter of the Investigation or the parties involved.

3. Investigative Phase

3.1. Purpose

3.1.1. An Investigation will be initiated when the Integrity Officer determines that it is

necessary. The purpose of the Investigation is to examine the Institutional Charge and determine whether Misconduct in Scholarship has occurred. The Investigation will examine the factual materials of each case.

3.2. Process and Structure

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- 3.2.1. After making a decision to proceed with an Investigation, the Integrity Officer will consult with the Chair of the University Senate to appoint a Committee of Investigation (CoI). No member of the CoI may have a conflict of interest. At least two members must be tenured faculty at the rank of associate or full professor and have appropriate expertise for evaluating the information relative to the case. However, if the Respondent is someone other than a faculty member of the University, one of these two members of the CoI must have a position with the University similar to that of the Respondent. The third member may be appointed from outside the University of North Dakota community if, in the judgment of the Integrity Officer, the circumstances justify such an appointment. Otherwise, the third member shall be appointed from within the University and must meet the same requirements as those listed for the first two members. The Inquirer may not serve on the CoI. Appointment of a CoI should be made within 20 Days following the decision by the Integrity Officer to proceed with an Investigation.
- 3.2.2. Before the CoI is convened, the Integrity Officer shall notify (Notification #3) all parties in writing of the Institutional Charge and of the procedures that will be used in the Investigation. Further, the parties will be informed of the proposed membership of the CoI for the purpose of identifying, in advance, any conflicts of interest.
- 3.2.3. At its first meeting, the CoI will elect a chairperson to handle procedural and administrative matters. All CoI members will be voting members.
- 3.2.4. Copies of all pertinent documents in the possession of the Integrity Officer will be provided by the Integrity Officer to the CoI and the Respondent in advance of scheduled meetings. The CoI interviews must be recorded and, upon request, made available to the involved parties, but only after the completion of the Disposition phase.
- 3.2.5. Every effort shall be made to complete the Investigation within 80 Days. If the CoI determines that circumstances clearly warrant an extension of time, a request for such an extension must be forwarded to the Integrity Officer. If the Integrity Officer grants the request, the CoI will notify all relevant parties of the extension. The record of the Inquiry will include the rationale for exceeding the 80 Day period, along with the length of the extension.
- 3.2.6. The Integrity Officer shall convey to any affected funding agency such information about the Investigation as may be required by the funding agency, and shall keep the funding agency up to date at intervals as required by the agency.
- 3.2.7. Individuals involved may have one Support Person accompany them to the meeting with the CoI. The Support Person may not present to the CoI. If the Support Person is Counsel, the individual must notify the Integrity Officer in advance. The Integrity Officer shall notify the University's Office of General Counsel who must be present during the meeting.
- 3.2.8. The Investigation will include examination of all relevant documentation and information the CoI feels pertains to the issue. The CoI will make every attempt to interview all individuals involved, as well as other individuals who might have information regarding key aspects of the Allegations. Complete summaries of recorded interviews will be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file. The CoI may request the involvement of outside experts. The Investigation must be sufficiently thorough to permit the CoI to reach a decision about the validity of the Allegation and the scope of the wrongdoing or to be sure that further investigation is not likely to alter an inconclusive result.
- 3.2.9. All parties in the Investigation will cooperate by producing any additional data requested. Copies of all materials secured by the CoI shall be provided to the Respondent.

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- 3.2.10. The Respondent shall have an opportunity to address the charges and information in detail during his/her interview and in writing at the end of the process.
- 3.2.11. After all information has been received and the fact-finding interviews have been completed, the CoI shall deliberate and prepare its findings. The CoI finds Misconduct in Scholarship if a majority of its members conclude beyond a reasonable doubt that the Allegation has been substantiated. A minority report may be written.
- 3.2.12. All significant developments during the Investigation, will be reported by the Integrity Officer to any affected funding agency, sponsor, or UND official, if appropriate.
- 3.3. Findings
  - 3.3.1. Upon completion of the Investigation, the CoI will submit a draft report to the Respondent. The Respondent shall be given the opportunity to comment in writing (Memo #4) upon the findings and recommendations of the CoI. If the Respondent chooses to comment, such comments shall be forwarded as soon as possible but no later than 20 Days from the date of receipt of the draft report. The Respondent's comments will be taken into consideration when completing the final report. The CoI will then submit the final report to the Integrity Officer who shall in turn transmit it to the VPAA and VPRED.
  - 3.3.2. The final CoI report must be in writing and include:
    - 3.3.2.1. Allegations. Describe the nature of the initial Allegations of Misconduct in Scholarship;
    - 3.3.2.2. Federal or state support. Describe and document federal or state support including, for example, any grant numbers, grant applications, contracts, and publications listing federal or state support;
    - 3.3.2.3. Institutional charge. Describe the specific instances of Misconduct in Scholarship that were considered in the Investigation;
    - 3.3.2.4. Policies and procedures. The institutional policies and procedures under which the Investigation was conducted shall be included;
    - 3.3.2.5. Sources of information. Identify and summarize the sources of information received whether or not reviewed;
    - 3.3.2.6. Statement of findings. For each separate Allegation of Misconduct in Scholarship identified during the Investigation, provide a finding as to whether Misconduct in Scholarship did or did not occur. For each instance of Misconduct in Scholarship that did occur:
      - 3.3.2.6.1. Identify the person(s) responsible;
      - 3.3.2.6.2. Identify the nature of the misconduct;
      - 3.3.2.6.3. Summarize the facts and the analysis of information which support the conclusion of the CoI, considering the merits of any reasonable explanations by the Respondent or other individuals who provided information;
      - 3.3.2.6.4. Identify the specific federal or state support;
      - 3.3.2.6.5. Identify whether any publications need to be corrected or retracted; and

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- 3.3.2.6.6. List any current support or known applications or proposals for support that the Respondent has pending with all federal or state agencies.
- 3.3.2.7. Comments. Include and respond to comments made by the Respondent and Complainant on the draft Investigation report.
- 3.3.3. Upon request, the CoI will maintain and provide to the Office of Research Integrity (or other federal or state agencies) all relevant sources of information and records of the institution's Misconduct in Scholarship proceeding, including results of all interviews and the transcripts of recordings of such interviews.
- 3.3.4. After the resolution of the Allegation of Misconduct, all records will be maintained in the office of the VPRED by the Integrity Officer pursuant to the University's records retention schedule. Unless custody has been transferred to HHS or ORI has advised in writing that the records no longer need to be retained, records of research misconduct proceedings must be maintained in a secure manner for 7 years after completion of the proceeding or the completion of any PHS proceeding involving the research misconduct allegation. The Integrity Officer is responsible for providing any information, documentation, research records, evidence or clarification requested by ORI to carry out its review of an allegation of research misconduct or of the institution's handling of such an allegation.
- 3.4. Issues Unrelated to the Investigation
  - 3.4.1. If, in the course of its Investigation, the CoI finds an issue unrelated to the Investigation, the CoI shall inform the Integrity Officer, who may send a separate letter to the administrator who has the authority to act on the information. This unrelated issue should not be contained in the official findings, nor should the letter to the administrator reveal the subject matter of the Investigation or the parties involved.

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#### 4. Disposition Phase

- 4.1. The VPAA shall consider the recommendations of the CoI and shall be responsible for determining and implementing any sanctions. The evaluation has two possible designated outcomes:
  - 4.1.1. If no Misconduct in Scholarship is found
  - 4.1.2. Within 10 Days of receipt of the CoI report, the VPAA shall furnish the report to the Respondent with the VPAA's decision. The VPAA shall inform the Respondent, Complainant, and the appropriate Dean that Allegations of Misconduct in Scholarship were not supported. The VPAA, through the Integrity Officer, shall inform all federal or state agencies, sponsors, or other external entities initially informed of the Investigation, that the Allegations of Misconduct in Scholarship were not supported. In determining whether to publicize the findings of no Misconduct in Scholarship, the University will be guided by whether public announcements will be harmful or beneficial in restoring any reputation(s) that may have been damaged. The Respondent's wishes will be taken into consideration when making publicity decisions. If the Allegations are deemed to have been maliciously motivated, the Inquirer or CoI will report those findings to the VPAA and a decision will be made whether to treat that finding as an Allegation of Misconduct in Scholarship against the Complainant.
- 4.2. If Misconduct in Scholarship is Found
  - 4.2.1. Within 10 Days of receipt of the report from the CoI, the VPAA shall notify the Respondent and the President, in writing, of the recommended responses, if any. A copy of the report will accompany the VPAA's decision.

4.2.2. The University must respond in ways that are appropriate to the seriousness of the Misconduct in Scholarship, including, but not limited to, one or more of the following:

4.2.2.1. Non-sanction

4.2.2.1.1. Letter of reprimand in file.



- 4.2.2.1.2. Letter of reprimand with public notice.
- 4.2.2.2. Sanction
  - 4.2.2.2.1. Removal from particular project.
  - 4.2.2.2.2. Special monitoring of future work.
  - 4.2.2.2.3. Probation for a specified period with conditions.
  - 4.2.2.2.4. Suspension of rights and responsibilities for a specified period, with or without salary.
  - 4.2.2.2.5. Financial restitution.
  - 4.2.2.2.6. Termination of employment/enrollment.
- 4.2.3. If the sanctions involve a recommendation for termination of employment, the Respondent may use any applicable termination procedures.
- 4.2.4. The VPAA, through the Integrity Officer, is responsible for notification of all federal or state agencies, sponsors or other entities initially informed of the Investigation's outcome. Consideration should be given to formal notification of:
  - 4.2.4.1. Sponsoring agencies, funding sources.
  - 4.2.4.2. Co-authors, co-investigators, collaborators, departments.
  - 4.2.4.3. Editors of journals in which fraudulent Scholarship was published.
  - 4.2.4.4. State professional licensing boards.
  - 4.2.4.5. Editors of journals or other publications, other institutions, sponsoring agencies, and funding sources with which the individual has been affiliated.
  - 4.2.4.6. Professional societies.
- 4.3. Appeal
  - 4.3.1. Respondents who are members of the faculty of the University may appeal the sanctions to the Standing Committee on Faculty Rights (SCoFR).
    - 4.3.1.1. Under section 605.3(9) of the State Board of Higher Education (SBHE) Policies "If the administration determines that the conduct of a faculty member . . . provides reasonable cause for imposition of a sanction, the administration shall inform the faculty member in writing of the sanction and the reasons for the sanction." A faculty member may appeal to the SCoFR "[i]f the sanction is imposed without a [SCoFR] hearing . . ." The faculty member may request a SCoFR review by following the SBHE policy and the University Implementation, both of which are found in the University's Faculty Handbook.
    - 4.3.1.2. If initiated, the review of imposed sanctions by SCoFR concludes review under this Policy.

- 4.3.1.3. If the finding of Misconduct in Scholarship results in termination, Respondent may request a SCoFR review of the decision to terminate by following the SBHE policy and the University Implementation, both of which are found in the University's Faculty Handbook.
- 4.3.2. Respondents who are not members of the faculty of the University may appeal the sanctions using any applicable procedures available under state or University policies.

**RESPONSIBILITIES**

<b>Individual</b>	▪ Report Allegations of Misconduct in Scholarship to the Integrity Officer
<b>Integrity Officer</b>	▪ Collect, Advise, Investigate, and Monitor Allegations of Misconduct in Scholarship
<b>VPAA</b>	▪ Determine and Implement any Sanctions
<b>VPRED</b>	▪ Record Retention

**NOTIFICATIONS**

<b>Notification 1</b>	Notification of Inquiry into Professional Misconduct
<b>Notification 2</b>	Inquiry into Professional Misconduct
<b>Notification 3</b>	Notification of Investigation into Professional Misconduct
<b>Notification 4</b>	Investigation into Professional Misconduct

**REVISION RECORD**

<b>12/7/2015- Policy Implementation</b>	Signed by President Robert O. Kelley
<b>5/3/2016-Policy Revision</b>	Signed by Interim President Edward Schafer

**Notification # 1**

To: \_\_\_\_\_, Respondent(s)

Cc: \_\_\_\_\_, Complainant

\_\_\_\_\_, proposed Inquirer

From: \_\_\_\_\_, Integrity Officer

Date: \_\_\_\_\_

Re: Notification of Inquiry into Professional Misconduct

This is to inform you that I have completed a Pre-Inquiry review of Allegations of professional misconduct brought against you by \_\_\_\_\_, and that I have determined that further inquiry into the Allegations is warranted.

The next step in the process, pursuant to the Misconduct in Scholarship Policy, is the Inquiry Phase during which factual information will be gathered and expeditiously reviewed to determine whether a further inquiry of the charge is warranted. The Inquiry Phase is designed to separate Allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken Allegations.

I intend to appoint \_\_\_\_\_ to conduct an Inquiry. Within five working days of the date of this memo, everyone should inform me whether or not any real or potential conflict of interest exists between the proposed individual conducting the Inquiry and the parties involved in the Allegation. If I receive no notice of conflict of interest, the individual conducting the Inquiry, the Inquirer, will have 40 working days to complete the Inquiry, unless circumstances clearly warrant a longer period. This is a paper review based on the documentation received by the Integrity Officer and responses to questions submitted by the Inquirer to either the Complainant or Respondent for clarification. After review of all of the documentation including the written responses from the Complainant and Respondent, a determination may be made that follow-up interviews with the Complainant or Respondent may be necessary to complete the Inquiry. If the Inquirer determines that an interview is necessary, principals are expected to speak for themselves but may be accompanied by a Support Person. In case the issue is determined to need further review, do not bring an individual as an advisor who has knowledge of the issues and with whom you may want a Committee of Investigation to speak.

If you have any questions about the process, please refer to the following documents that are guiding the Inquiry:

[UND Faculty Handbook, § Ethical Conduct in Research, Scholarship and Creative Activity](#)

Office of Research Integrity, US Department of Health and Human Services

Thank you for your attention to this matter.

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**Notification #2**

To: \_\_\_\_\_, Respondent

From: \_\_\_\_\_, Integrity Officer

Date: \_\_\_\_\_

Re: Inquiry into Professional Misconduct

The Inquiry concerning Allegations of professional misconduct against you has been completed. The findings of the Inquiry (support/do not support) further Investigation. Enclosed please find the report. Pursuant to the section 2.3.1 of the Misconduct in Scholarship policy, you have the opportunity to provide written comment on the findings and recommendations of the enclosed report. Your comments will become part of the record. Please send me your written comments, if any, within 15 working days from the date of this memorandum.

Thank you for your attention to this matter.

Enclosure

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Return Receipt Requested

**Notification #3**

To: \_\_\_\_\_, Respondent

Cc: \_\_\_\_\_, Complainant

\_\_\_\_\_, Dean

\_\_\_\_\_, VPAA

\_\_\_\_\_, VPRED

\_\_\_\_\_, Office of General Counsel

\_\_\_\_\_, proposed Committee of Investigation

From: \_\_\_\_\_, Integrity Officer

Date: \_\_\_\_\_

Re: Notification of Investigation into Professional Misconduct

This is to inform you that I concur with the findings of the Inquiry that an investigation into your professional misconduct is warranted. The purpose of Investigation is to explore further the Allegations and determine whether misconduct in research and scholarship has been committed. The Investigation will focus on accusations of misconduct as defined previously and examine the factual materials of each case. In the course of the Investigation, additional information may emerge that justifies broadening the scope of the Investigation beyond the initial Allegations. You will be informed in writing if significant new directions for investigation are undertaken.

I intend to appoint \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_ to serve on the Committee of Investigation (CoI). Within five working days of the date of this memo, please inform me as to whether or not you have any real or potential conflict of interest between the proposed Committee of Investigation and you. Pursuant to section 3.2.5 of the Misconduct in Scholarship policy, the Committee of Investigation will have 80 working days to complete its Investigation, unless the Committee determines that circumstances clearly warrant a longer period. You may bring a Support Person; he or she may not speak with the CoI. Do not bring an individual as Support Person who has knowledge of the issue and with whom you would like the Committee to speak.

If you have any questions about the process, please refer to the following documents that are guiding the inquiry:

[UND Faculty Handbook, § Ethical Conduct in Research, Scholarship and Creative Activity](#)

[Office of Research Integrity, US Department of Health and Human Services](#)

Thank you for your attention to this matter.

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**Notification #4**

To: \_\_\_\_\_, Respondent

From: \_\_\_\_\_, Chair, Committee of Investigation

Date: \_\_\_\_\_

Re: Investigation into Professional Misconduct

The Committee of Investigation has completed the investigation into the Allegation of professional misconduct against you. Enclosed please find the draft report. Pursuant to section 3.3.1 of the Misconduct in Scholarship policy, you have the opportunity to provide written comment on the findings and recommendations of the enclosed report. Please send me your written comments, if any, within 20 working days from the date of this memorandum. Your comments will be taken into consideration when finalizing the report.

Thank you for your attention to this matter.

Enclosure

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**University of North Dakota  
Essential Studies Program**

**GUIDELINES FOR ESSENTIAL STUDIES TRANSFER**

**“Essential Studies” is UND’s undergraduate program in general education.**

The University of North Dakota welcomes transfer students and accepts credits awarded by regionally accredited institutions. Specific questions or inquiries not addressed by the Guidelines can be addressed to:

**Registrar’s Office**  
[christina.fargo@und.edu](mailto:christina.fargo@und.edu)  
701.777.2148 or 777-2711  
Twamley Hall 201 (Stop 8382)

Additional information about UND’s Essential Studies program can be found at the ES website:

<http://und.edu/academics/essential-studies/>

This document was initially approved by the Essential Studies Committee on: April 1, 2011. It was revised and approved by the Essential Studies Committee in 2015. The current version was revised and approved by the Essential Studies Committee in April, 2022.

**Commented [KP1]:** Update upon approval

**UND Essential Studies Program  
2019 GUIDELINES FOR ESSENTIAL STUDIES COURSE TRANSFER (G.U.E.S.T.)**

This document describes how courses taken at other institutions align with UND’s Essential Studies (ES) program requirements for both Breadth of Knowledge (BOK) requirements and Special Emphasis (SE) requirements. It is intended to help with course transfer into the ES program.

Students under Essential Studies. The ES program applies to all first-year students who entered UND in Fall 2008, or later, and for all transfer students who entered UND in Fall 2009, or later. Updated requirements in the Special Emphasis categories of Diversity of Human Experience and Analyzing Worldview apply to all students who begin at UND in Fall 2020 or later.

Transfer Agreements. Some transfer credit decisions are determined by the North Dakota University Systems’ (NDUS) “General Education Requirements Transfer Agreement” (GERTA). UND’s BOK categories are the same as the GERTA categories. GERTA is used to facilitate transfer between the 11 institutions in the state public college and university system; it is often used for transfer from the ND tribal colleges and the ND private institutions. In addition to GERTA, NDUS also has a “Common Course Numbering” policy, which applies primarily to courses in general education.

In addition to the above agreements, the NDUS SBHE Policy 412 includes the following: “Students who have earned an Associate in Arts and/or Associate in Science from an institution accredited by an organization recognized by the United States Department of Education shall be granted credit for having met all lower-division general education requirements. Students may be required to complete other courses, which may fall under a general education category, only if the courses are required as part of the student’s program and were not completed prior to transfer or are part of the receiving institutions upper-division general education requirements.”

**Deleted:** Besides the NDUS agreements, UND has also established articulation agreements with a large number of schools and systems outside the state. See the Registrar’s Office for current list.

Students who have earned an associate of arts or associate of science from a U.S. regionally or CHEA accredited institution will be considered to have completed the breadth of knowledge and special emphasis requirements but must still complete the capstone.

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Students transferring to UND with a completed 4-year baccalaureate degree earned at U.S. regionally or CHEA accredited institution or earned outside of the U.S. but with an equivalency of a United States bachelor’s degree from a regionally accredited institution as designated by trained admissions personnel and/or foreign credentials services of American (FCSA) or member organizations of the national association of credential evaluation services (NACES) or the association of international credit evaluators (AICE) will have all Essential Studies requirements waived.

**Deleted:** except where existing transfer policies also waive special emphases.

Transfer Credit for Majors. Requirements for majors and pre-requisites within majors are *not* addressed by this document. Questions about this aspect of transfer should be addressed to the major department.

If the course equivalent at UND and the guidelines are different: When a transfer course receives a UND equivalency that is not an approved ES course but based on GUEST would fulfill ES requirements, the student has the one-time option of having the equivalency removed so the course may be used to fulfill the ES requirement. The student would need to contact the Registrar’s Office with the request to remove the equivalency.



**Caution Concerning Use of the Guidelines.**

**Readers are reminded that the purpose of this document is to provide general guidance that can be used by advisors to provide advice regarding evaluation of course credit for Essential Studies. While students should always check their Academic Advising Report or Degree Map\*, all final decisions are made as part of an official transcript review by the Office of the Registrar. Decisions made by consulting this document will not supersede that review.**

\*Each student can access his/her Academic Advising Report through Campus Connection or Degree Map. The report tells which program requirements in Essential Studies and in the major that the student has completed to date. It also tells which requirements remain to complete. The AAR is a key tool that helps students and their advisers plan their programs of study wisely and efficiently.

**Checklists for ES Transfer**  
**Steps to be followed in Addressing Inquiries about ES Transfer Credit**

**Prospective Students**

1. Inform the student about the articulation agreements that are available online. If the student's transfer institution is one with whom we have an agreement, they will be able to find that information online.
2. Advise prospective transfer students to contact their college advisor for other questions about transferring. Advise students who have not yet decided on a major to contact the College of Arts & Sciences to inquire about the Bachelor of General Studies degree. Any other questions related to transfer should be directed to the Registrar's Office.

**Newly Admitted Students**

1. All admitted transfer students will have a course-by-course evaluation of their incoming transfer credit. The Office of the Registrar will determine which credits will transfer to UND, including how those credits will be applied toward UND's Essential Studies requirements.
2. The individual college or department determines how the accepted courses may be used toward the student's major.
3. Check the Academic Advising Report or Degree Map--it will be used to reflect how courses apply toward the student's degree requirements.
4. If a course was not marked as equivalent to a specific UND course, a Breadth of Knowledge or Special Emphasis requirement and the student thinks it should have been, it is the student's responsibility to contact their Academic Core Advisor for review and investigation of the transfer equivalency decision.
5. If a satisfactory decision is not reached through departmental consultation, the student may appeal by petition directly to the Essential Studies Committee. Students and advisors may also contact the Director of Essential Studies for help with petitions.

**Currently Enrolled Students**

1. All currently enrolled UND students who have taken courses at another institution will have their incoming transfer courses evaluated by the Office of the Registrar. The Office of the Registrar will determine which credits will transfer to UND, including credits to be applied toward UND's Essential Studies Requirements.
2. The individual college or department determines how the accepted courses may be used toward the student's major.
3. The Academic Advising Report or Degree Map will be used to reflect how courses apply toward a student's degree requirements.
4. If a course was not marked as equivalent to a specific UND course, a Breadth of Knowledge or Special Emphasis requirement and the student thinks it should have been, it is the student's responsibility to contact their advisor for review and investigation of the transfer equivalency decision.
5. If a satisfactory decision is not reached through departmental consultation, the student may appeal, with an ES petition, directly to the Essential Studies Committee. Students and advisors may also contact the Director of Essential Studies for help with petitions.

GUIDELINES FOR ESSENTIAL STUDIES TRANSFER:  
**BREADTH OF KNOWLEDGE REQUIREMENTS**

Reminder: the following covers courses other than those governed by Common Course Numbers, GERTA, Articulation Agreements, and/or other NDUS policies.

Information below is organized first by Breadth of Knowledge (BoK) area--Communication, Social Sciences, Arts and Humanities, and Math/Science/Technology-- and second by department.

NOTE: Guidelines included here may be used to address questions about ES credit. These guidelines do not address course equivalency.

**I. Communication:**

- ✓ TRANSFER CREDIT OK'd for English Composition I: (UND's English 110), College Writing I, College Composition I, Composition I, Freshman Writing.
- ✓ OK for English Composition II (UND's English 130): NDUS English 120 and 125, Research Writing courses, College Writing II, College Composition II, Composition II, Professional/Business and Technical Writing courses, Public Writing courses.
- ✓ NO: Writing courses with a technical program prefix will not normally count toward the ES Communication requirement.
- ✓ NO: Courses in literature will not count toward the BOK requirement in Communication. However, they may count toward the Humanities requirement.
- ✓ OK for Oral Communication: Any 3-credit course that is clearly a public speaking course. E.g., Speech, Introduction to Public Speaking.

*(NOTE: Courses such as "Introduction to Communication," "Mass Communication," and "Interpersonal Communication" do not normally fulfill this requirement because they may be about communication rather than provide students with opportunities to practice and receive feedback on their oral communication skills.)*

**II. Social Science**

Anthropology:

- ✓ OK: Introduction to Anthropology or course in Cultural Anthropology, Archaeology or Pre-History.

*(NOTE: Courses in Physical Anthropology or Biological Anthropology or Human Origins do not fit here but they may fit under Math/Science/Technology.)*

Economics:

- ✓ OK: Intro, Micro, Macro, Survey of Economics.

*(NOTE: Courses in Statistics will count under Math/Science/Technology).*

Guidelines for Essential Studies Transfer (GUEST): 2019 Edition

Gender studies:

✓ OK: Any women or gender studies course that contains a social science discipline in the title (e.g., Psychology of Women or Gender Sociology).

Geography:

✓ OK: Human, Cultural or Introduction to Geography. Regional Geography courses.

*(NOTE: Courses in Physical Geography, Weather or Climate may fit Under Math/Science/Technology.)*

Indian Studies:

✓ OK: Introduction to Indian Studies or courses in Culture or Politics.

*(NOTE: Courses in Art, Religion, History, Languages or Literature fit instead under Humanities.)*

Political Science:

✓ OK: Any regular academic Political Science course.  
 ✓ NO: experiential courses or work in political science, e.g., student government.

Psychology:

✓ OK: Introduction to Psychology, General Psychology, Developmental (e.g., Child Psychology, Adolescent), Abnormal, Personality, Cognitive, Social, Sport, Forensic, Positive, Learning, Educational, or other sub-field area in Psychology

*(NOTE: Statistics courses count under Math/Science/Technology; "Self-Help" courses do not apply to ES but would transfer in as elective credits.)*

Sociology:

✓ OK: Introduction to Sociology, General Sociology, and most other Sociology courses.

*(NOTE: Statistics courses count under Math/Science/Technology; Self-Help courses or 100 or 200-level courses on marriage or family normally do not apply to ES but would transfer in as elective credits.)*

Social Science:

✓ OK: Introduction to Social Sciences.

**III. Fine Arts:**

✓ OK: Any course in Art, Music or Theatre.  
 ✓ OK: Creative Writing.

**IV. Humanities:**

English:

✓ OK: Any literature course. Examples include: Courses with phrase "literature" or "literary" in the title (e.g., "Literary Analysis," or "Introduction to Literature"). Also, Poetry, Short Story, Fiction, Novel, Drama, or "Introduction to" any of these. American or British "survey" or "authors." Courses that explore various kinds of "writers" or "writing" (e.g., American, Native American, African American, Minnesota, Midwestern, Women, Twentieth-Century).

*(Note: Creative Writing counts under Fine Arts).*

Gender studies:

## Guidelines for Essential Studies Transfer (GUEST): 2019 Edition

- ✓ OK: Any women or gender studies course that contains a humanities discipline in the title (e.g., History of Women or Gender Philosophy).

History: ✓ OK: Any regular academic History course.

Humanities course:  
 ✓ OK: Any regular academic introductory or survey course in Humanities, e.g., Intro to Humanities, Humanities Survey, Humanities I, Humanities plus an era (e.g., Humanities: Greek and Roman).

American Indian Studies:  
 ✓ OK: Courses in History, Languages, Literature, Religion.

Languages:  
 ✓ OK: Any regular academic foreign language or Native American language course.  
 (NOTE: American Sign Language is not accepted as Humanities for UND and transfer courses.)

Philosophy:  
 ✓ OK: Any regular academic Philosophy course with a Philosophy prefix.

Religion:  
 ✓ OK: Any course from public colleges and universities.  
 ✓ OK: Any course from private colleges without religious affiliation.  
 (NOTE: Courses from colleges with a religious affiliation must be reviewed by the Philosophy & Religious Studies department for ES applicability).

Art/Music/Theatre:  
 ✓ Art/Music/Theatre courses in appreciation, history, or literature will count toward the BOK requirement in Fine Arts. However, students may request to use these courses to count toward the BOK requirement in Humanities instead (cannot count “both ways”). Students or advisors should contact the Registrar’s Office if they want to make such a request.

## V. Math/Science/Technology:

*Special Note about Laboratory courses: To fulfill the Lab Science portion of the MST requirement, the classes approved below must be at least 4 semester credits (or 3+1) and include a lab (see section on Notes for information on fractional credit, p.13). The lecture and lab must be for the same course, e.g., General Biology 3 credits + General Biology Lab 1 credit.*

Anthropology:  
 ✓ OK: Physical Anthropology, Biological Anthropology or Human Origins.  
 (NOTE: Other Anthropology courses may fit under Social Sciences.)

Biology:  
 ✓ OK: Standard Biology courses, e.g., Introduction to Biology, General Biology, Principles of Biology, Concepts of Biology, Environmental Biology, General Ecology, Microbiology.  
 ✓ OK for Lab: General Biology, Concepts of Biology, Human Biology, Anatomy & Physiology, Biochemistry, Microbiology. (See also Special Note above about Labs)

## Guidelines for Essential Studies Transfer (GUEST): 2019 Edition

## Chemistry:

- ✓ OK: Standard courses in general Chemistry, e.g., Preparatory Chemistry, Introduction to Chemistry, Introduction to General Chemistry, Fundamentals of Chemistry, Aspects of Chemistry, General Chemistry, Principles of Chemistry.
- ✓ OK: standard courses in Organic Chemistry, Inorganic Chemistry, Biochemistry.
- ✓ OK for Lab: General Chemistry, Chemistry for Non-Science Majors. (*See also Special Note about Labs*)

## Geography:

- ✓ OK: Physical Geography, Weather and Climate, Earth Science.
- ✓ OK for Lab: Physical Geography, Earth Science. (*Note: see also Special Note about Labs*)

*(NOTE: Introductory courses, such as "Introduction to Geography," fit under Social Sciences.)*

## Geology:

- ✓ OK: Introduction to Geology, Physical, Historical, Environmental.
- ✓ OK for Lab: Introduction to Geology, Physical, Historical. (*See also Special Note about Labs*)

## Meteorology/Atmospheric Science:

- ✓ OK: Introduction to Meteorology, Introduction to Atmospheric Science.
- ✓ OK for Lab: Introduction to Meteorology. (*See also Special Note about Labs*)

## Nutrition:

- ✓ OK: Introduction to Nutrition.

## Physics:

- ✓ OK: Introduction to Physics, College Physics, Engineering Physics, Astronomy, Physics for Non-Science majors.
- ✓ OK for Lab: All of the above. (*See also Special Note about Labs*)

## Physiology and/or Anatomy:

- ✓ OK: Any standard Anatomy or Physiology or combined Anatomy & Physiology course.
- ✓ OK for Lab: Any of the above. (*See also Special Note about Labs*)

## Mathematics:

- ✓ OK: College Algebra, Trigonometry, Pre-Calculus, Survey of Calculus, Applied Calculus, Calculus.
- ✓ MAYBE: Courses with titles like "Math for Liberal Arts" will be evaluated individually, normally by UND's Department of Math. Check with the Registrar's Office first.

*(NOTE: Courses that are a pre-requisite for College Algebra do not count, nor do Math courses geared specifically for a vocational program.)*

## Computer Science:

- ✓ OK: Introduction to Computers, Introduction to Computer Science.

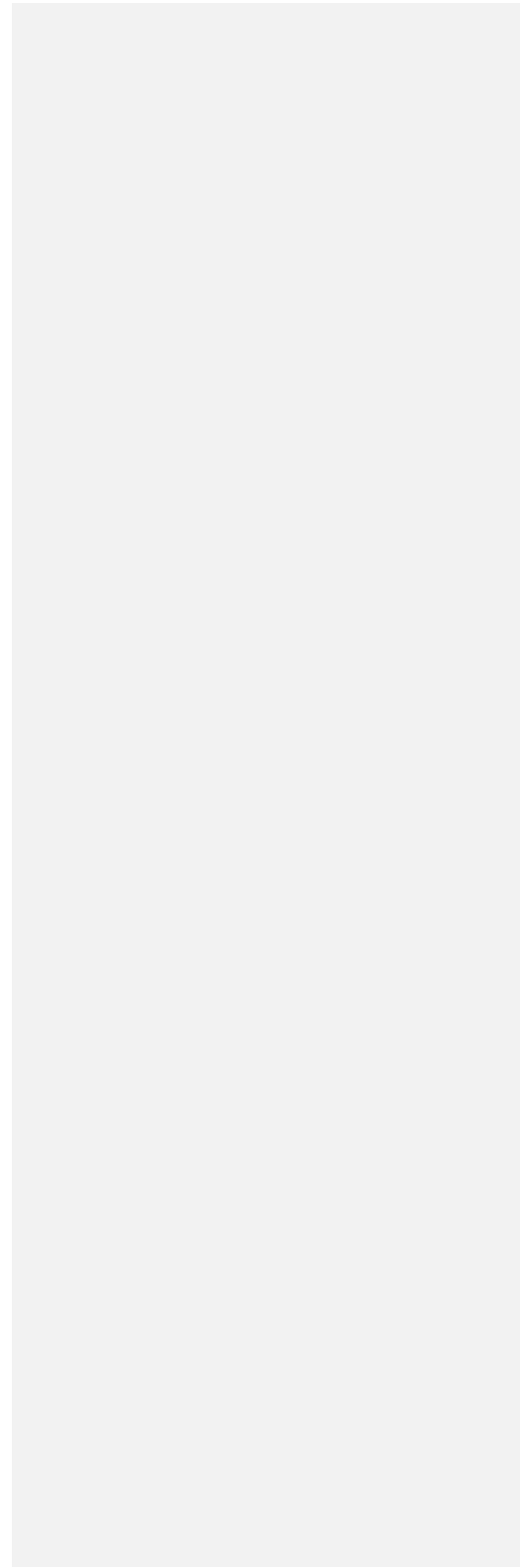
*(NOTE: Data entry courses, programming language courses, and computer courses with a technical program prefix do not normally apply to ES but would transfer in as elective credits.)*

## Statistics:

- ✓ OK: Any course labeled Statistics under Business, Economics, Mathematics, Statistics, Psychology, Sociology, or similar programs.

*(NOTE: Statistics courses within a technical or vocational program normally do not apply to ES but would transfer in as elective credits.)*

***REMINDER: An official transcript review must be completed before any credit decision can be considered as final. Also remember that this document addresses ES applicability, not transfer equivalence.***



GUIDELINES FOR ESSENTIAL STUDIES TRANSFER:  
**SPECIAL EMPHASIS REQUIREMENTS**

*NOTE: Guidelines included here may be used to address questions about ES credit.  
These guidelines do not address course equivalency.*

**I. Quantitative Reasoning: (“Q”)**

Mathematics:

- ✓ OK: College Algebra, Trigonometry, Applied Calculus, Survey of Calculus. Finite Math, Calculus, Differential Equations, Statistics.
- ✓ MAYBE: Courses with titles such as “Math for Liberal Arts” will be evaluated individually, normally by UND’s Department of Math. Check with the Registrar’s Office first.

Sciences:

- ✓ OK: any regular academic course in general Chemistry.
- ✓ OK: Physics, Atmospheric Sciences (Meteorology).
- ✓ OK: Geography courses in Global Physical Environment or Global Climate
- NO: Organic Chemistry, Inorganic Chemistry, Biochemistry.

Statistics:

- ✓ OK: Any course labeled Statistics under Business, Economics, Mathematics, Statistics, Psychology, Sociology, or similar disciplines.

**II. Global Diversity: (“G”)**

Anthropology:

- ✓ OK: Course in Cultural Anthropology, Archaeology or Pre-History.

Foreign Languages

- ✓ OK: Any second language courses

Geography:

- ✓ OK: World Regional Geography, Cultural Geography, Human Geography.
- ✓ OK: Regional Geography courses other than North America.

History:

- ✓ OK: History of a single country or region outside the United States.
- ✓ OK: History of World Civilization I or II, Western Civilization I or II.

Philosophy/Religion:

- ✓ OK: World Religions, Asian Philosophy or Religion Courses, such as Hinduism, Buddhism, and Islam.

Other:

- ✓ OK: Courses in an academic discipline about a country or region or culture outside the United States (e.g., World Music, Art of Asia, International Literature, Comparative International Politics, World Food Patterns, Global Health)
- ✓ OK: Courses in Women Studies and Gender Studies

**III. United States Diversity: (“U”)**



## Guidelines for Essential Studies Transfer (GUEST): 2019 Edition

- ✓ OK: American Indian Studies courses that fit under BOK categories Social Sciences or Humanities.
- ✓ OK: Courses, although housed in various departments, which fulfill a similar diversity requirement at the home school, e.g., Multicultural Education, Diversity in American Society, Race in America.
- ✓ OK: Courses dealing with specific identities and minority groups in the United States, e.g., Black American Writers, Latino Culture, LGBTQ+ Communities.

**IV The Diversity of Human Experience: (“D”) – beginning Fall 2020**

- ✓ OK: Courses in an academic discipline about a specific country or region or culture (e.g., World Music, Art of Asia, International Literature, Comparative International Politics, World Food Patterns, Global Health, LGBTQ+ Studies, Women or Gender Studies courses, or any discipline-specific course focused entirely on culture or diversity).
- ✓ OK: Any study abroad credit earned would satisfy this requirement.
- ✓ OK: Any transferred language acquisition course (whether that language is taught at UND or not) would fulfill this requirement.

**V Analyzing Worldview (“W”) – beginning Fall 2020**

- ✓ OK: Courses in an academic discipline at the 200 level or above that contains *Multi- or Inter-cultural* in the title or are deemed equivalent to the courses on the Analyzing Worldview list would fulfill this requirement.

**VI. Advanced Communication: (“A”)**

- ✓ OK: Advanced Composition (i.e., college composition courses beyond Composition II).

**CAPSTONE REQUIREMENTS****I Capstone Courses for Essential Studies (“C”)**

- ✓ OK: Courses equivalent to any approved ES Capstone course at UND

*(Note on “C” courses: Most students will find that their departments have developed “C” courses in their majors. Students in majors that do not have a “C” course should be advised to take a “C” course that is open to all students.)*

### Notes

#### Applying to special transfer issues not addressed in the previous sections.

1. North Dakota University System (NDUS) and Essential Studies transfer.
  - GERTA (NDUS policy: General Education Requirements Transfer Agreement). All GERTA courses will apply to Breadth of Knowledge ES requirements according to the UND Gold Page.
  - Common course numbers. All NDUS courses that have CCNs with UND courses will fulfill both Breadth of Knowledge (BoK) and Special Emphasis (SE) requirements in the same ways that UND courses do.
  - Oral Communication. Courses in GERTA under ND: COMM will fulfill the Comm 110 requirement, as will similar Public Speaking courses.
2. Other Articulation Agreements. All courses from schools with which we have articulation agreements will fulfill the BoK and SE requirements according to the existing agreement. If an articulation agreement has not yet been updated, the student should contact the Office of the Registrar.
3. Transfer Credit By Examination or Test.
  - Credits earned through AP, CLEP, IB, and DSST will fulfill breadth of knowledge requirements. They will NOT fulfill any special emphasis requirements. This will apply to all students, whether from North Dakota or elsewhere.
  - In accordance with UND policy and practice, credits earned through UND Challenge Exams and Language Placement and Credit Exams will fulfill breadth of knowledge requirements only. They will NOT fulfill any special emphasis requirements.
  - Lateral language credits earned will satisfy both breadth of knowledge and special emphasis requirements.
  - Placement Exams taken for placement only (not for credit) do NOT fulfill any breadth of knowledge or special emphasis requirements.
4. ACT Scores and Essential Studies Transfer
  - English ACT of 27 or above will waive the English 110 requirement for Essential Studies or the old GER. *Note: the effect of this waiver is that the student needs to complete 6 of the 9 credits in the BoK Communication category (e.g., English 130 + Communication 110). However, the student is still required to complete at least 120 credits for graduation.*
  - Math ACT does not waive an Essential Studies requirement. It only counts as a pre-requisite for the next level.
5. Study Abroad Credit. If possible, students planning to study abroad should get prior approval of their planned work and how it will transfer. Arrangements are best made in advance if a student wants to earn ES credit for an international learning experience. Contact the International Programs Office for more information. For major requirements, see the faculty advisor in the department or college. The Study Abroad paperwork can be obtained from the International Programs Office.
 

*NOTE: UND does not grant credit for study abroad based solely on the experience of living in a foreign country. We require that, for ES credit, the experience must be a) a learning experience, b) guided or directed by a qualified instructor, c) designed so the student reflects seriously on the*

*learning they have gained from the experience, and d) the student's experience and reflection is assessed by the instructor.*

6. **Fractional Transfer Credit.** The following guidelines show how ES credit is judged when a student inquires about transferring coursework that carries fewer credits than the UND equivalent. This most often occurs when transfer is from institutions with a quarter system.

**Lab Sciences**

- ✓ OK: Two quarters (2 2/3 + 2 2/3) of lab sciences--either same or different sciences.
- ✓ OK: A 3 1/3 credit lab science (5 quarter hours). Note: 9 credits Lab Sciences total still needed.
- ✓ OK: A 3-credit lab science course. Note: 9 credits total still needed.
- ✓ NO: A 2 2/3 credit (4 quarter hours) lab science.

**Speech**

- ✓ OK: A 2 2/3 credit (4 quarter hours) speech course.
  - ✓ OK: 2-credit speech course.
- Note: at least 8 credits total of English Composition plus Speech are still needed as minimum under Communication.*

**English Composition**

- ✓ OK: for these combinations of fractional credits for Comp I & Comp II: 3 + 2 2/3. Or, 2 2/3 + 2 2/3. Or, 3 + 2.
  - NO: 2 + 2.
- Note: as for Speech above, at least 8 credits total of English Composition plus Speech are still needed as minimum under Communication.*

**Fine Arts**

- ✓ OK: A 2 2/3 credit fine arts course.
- ✓ OK: A 2-credit fine arts course.
- ✓ OK: Three 1-credit fine arts courses. Maximum of 3 both for transfer and UND.
- ✓ OK: Two 1-credit fine arts courses--both for transfer and UND.

**Special Emphasis Requirements: "A," "Q," "U" and "G" or "D and "W"**

- ✓ OK: 2 2/3 credits but still requiring 9 credits total in each: A&H, SS, and Math/Science/Tech
- NO: 2 credits or fewer. The ES Committee will consider petitions for 2.0 credits if the coursework can be shown that it met the UND criteria for Special Emphasis learning outcomes and learning experiences.

7. **Dean's Waivers:** Under Essential Studies, academic deans may approve a reduction of up to 1 credit in *one* of the following Breadth of Knowledge categories: Communication, Arts & Humanities, or Social Sciences. However, deans may not approve a reduction in the 9 credits of Math/Science/Technology. Dean's waivers also do not apply to Special Emphasis or Capstone requirements.

How G.U.E.S.T. Was Developed and Approved.

The initial version of the guidelines was developed by an ad hoc Essential Studies transfer group in Fall 2010. This version is also a revision of the first ES transfer guidelines (2009), which were developed as part of UND's implementation of Essential Studies, and which replaced the former transfer document for the old program (Guidelines on Transfer for the General Education Requirements, 1993).

Each version of GUEST is approved by the Essential Studies Committee (ESC). Future versions will be reviewed and revised every other year. The ESC will be responsible for the biennial review and revision.

Members of the 2010 Ad hoc ES Transfer Group:

Suzanne Anderson, Registrar  
 Lisa Burger, Director, Student Success Center  
 Mary Coleman, Past Chair, Essential Studies Committee  
 Christina Fargo, Assistant Registrar  
 Sherrie Fleshman, Chair, Essential Studies Committee  
 Adam Kitzes, Essential Studies Committee  
 Steve Light, Associate Provost for Undergraduate Education  
 Jennifer Manzke, Manager of Non-Articulated Transfer/Registrar's Office  
 Tom Rand, Associate Dean, Arts & Sciences  
 Lori Robison, Essential Studies Committee  
 Tom Steen, Director of Essential Studies

The Guidelines were revised in 2015, and they were approved by the ES Committee on May 12, 2015.

Members of the 2015 GUEST Team:

Lisa Burger, Student Affairs/Student Success Center  
 Marlys Escobar Nursing & Professional Disciplines  
 Christina Fargo, Assistant Registrar  
 Brett Goodwin, Biology  
 Adam Kitzes, English  
 Tom Rand, Arts & Sciences  
 Lori Robison, English  
 Tom Steen (editor), Essential Studies

The Guidelines were revised in 2018-19, and they were approved by the ES Committee

Members of the 2018 GUEST Team:

Valerie Bauer, CNPD  
 Bailey Bubach, CEM  
 Michael Dodge, JDO  
 Joan Enlow, Registrar's Office  
 Christina Fargo, Registrar's Office  
 Ken Flanagan, EHD  
 Melissa Gjellstad, CAS  
 Kayla Hotvedt, CAS  
 Mark Jendrysik, CoBPA  
 Brad Reissig, CAS  
 Brooke Solberg, SMHS

Guidelines for Essential Studies Transfer (GUEST): 2019 Edition

Clement Tang, CEM  
Ryan Zerr, Essential Studies

The Guidelines were revised in 2019 and approved by the ES Committee

Members of the 2019 GUEST Team:

Michael Dodge, CEM  
Joan Enlow, Registrar's Office  
Christina Fargo, Registrar's Office  
Brooke Solberg, SMHS  
Karyn Plumm, Essential Studies

The Guidelines were revised in 2021 and approved by the ES Committee

Members of the 2021 GUEST Team:

Brooke Solberg, SMHS  
Donovan Widmer, CAS  
Joan Enlow, Registrar's Office  
Christina Fargo, Registrar's Office  
Karyn Plumm, Essential Studies

## Essential Studies Program Review

### PURPOSE

The Essential Studies Committee will be conducting a program review for the ES Program during the 24-25AY. Academic Program Review (APR) at the University of North Dakota (UND) provides an opportunity for all academic programs to document, examine, and assess the achievement of their goals and objectives over time and is founded on principles of continuous evaluation and improvement and institutional quality. The Essential Studies program has not been reviewed in 10 years. Although the prior review includes some recommendations that have not yet been acted upon, the landscape of higher education has changed dramatically in those 10 years.

A review can provide critical information about the size and stability of a program, its future faculty resources and student market, its strengths and weaknesses, and its contribution to the mission of the institution. Program review helps set goals and directions for the future and ensures that overall academic planning and budget decisions are based on accurate data and agreed-upon priorities. The information gathered in the review process, particularly the assessment of program strengths and needs, provides compelling evidence of the quality of the program and the foundation on which future improvements should be built. **The ES Committee would like to gather broad campus-wide feedback on the state of the program to best consider how to align the ES Program with the UND LEADS strategic plan, and to think about the future of general education at UND.**

### PLAN

Recommendations for best practices in a general education review process were sought from current President of the [Association of General and Liberal Studies](#), Dr. Stephen Biscotte, Assistant Provost, Undergraduate Education, Virginia Tech. AGLS provides a template and guide for such reviews. Dr. Biscotte helped to inform the plan outlined below based on the success of the dozens of various reviews he has participated in and/or chaired.

A small internal committee will conduct a self-study; the purpose of the self-study is to document where the program is currently and to provide some feedback for the external reviewers to begin their work. This committee will be comprised of a faculty member, an assessment professional, and a central administrator/director, selected by the ESC. This internal committee will be asked to review any considerations made by the HLC accreditation visit in April, gather all readily available data related to the ES program (e.g., assessment data, course data), and conduct requests for feedback via surveys and focus group listening sessions.

The self-study will be made available to an external review team. The external review would be conducted by a team of 3 faculty members from across the nation with recognized expertise in general education and external reviews; AGLS will provide names of such faculty that could conduct this assessment and produce a report with recommendations for the state of the ES program. The ES Committee will help establish who will be asked to be part of this team. The external review will include a series of focus groups to gather feedback from all stakeholders campus wide. Feedback will be sought from students, faculty, staff, and alumni. The external review team will combine the gathered information, the internal self-study, and best practices in general education to create a final report to be

presented to the ES Committee for consideration. This report will be reviewed by the ESC and the new ES director (see below) to make any resulting revisions to the ES program.

#### TIMELINE

April, 2024: HLC accreditation visit

June, 2024: ES APR internal team begins self-study with readily available data and feedback gathering and compiling from campus-stakeholders who are on campus over the summer

July, 2024: HLC report considerations

August, 2024: ES APR internal team finalizes feedback gathering and compiling from campus-stakeholders who have returned to campus

September, 2024: ES Director Search posted

October, 2024: ES APR self-study is completed; ESC reviews self-study to determine if external review team needs additional prompts; external review process takes place

January, 2025: ES Committee is provided final APR report; new ES Director onboarding; ES director and ESC collaborate to evaluate report and recommendations to discuss possible revisions to ES

#### CONSIDERATIONS

In order to ensure that all faculty, departments, and programs participate in the ES APR as fully as possible, we will pause revalidation and assessment processes during the Fall 2024 semester. We will still consider new validations (due December 1<sup>st</sup>) and we will begin assessment activities again in Spring 2025.

The final report submitted to the committee will be made available to campus. Any subsequent action taken by the ES Committee will be voted upon and moved up the shared governance structure to SEC and University Senate approval as appropriate.

## University Information Technology 2024 Summer Projects (5/2/24)

Submitted by: Madhavi Marasinghe (UND CIO)

- **UND Email Policy**
  - A new email policy will be developed during the summer to be in effect starting August 1, 2024.
  - Policy statement (draft) – “...UND declares email received and sent from @und.edu or @ndus.edu as an official means of communication...”
  - The policy exists to increase awareness of the expectations and guidelines for the use of email services, to address security concerns of transmitting high-risk and sensitive data via email, to minimize disruption to email services, and for account maintenance to support record retention and cost reduction.
  - The policy procedure will address:
    - Account holder responsibilities
    - Blocking automatically forwarding emails from UND accounts to other non-UND email services (ex: Gmail)
    - UND owns the email account, and at times, UND may need to create a separate account for an individual to comply with separation of duties and security
    - Deactivating and purging of accounts upon separation from UND
- **Mobile Credential (digital University ID card – U Card) Assessment**
  - Mobile credentialing refers to the use of mobile devices, such as smartphones or tablets, to access secure locations or services instead of traditional physical credentials like the UCard, key cards, or identification badges.
  - To understand how the transition to mobile credentials will affect the campus, such as the required changes to door access and physical infrastructure and the procedures that need to be updated, a discovery project is needed to gather input from key stakeholders and evaluate the impact on the university.
  - To assess the current use of the U-Card and future use of digital ID cards and to understand the impact of a transition, UIT will conduct an assessment survey from April 24 through May 10.
- **IT Governance**
  - UIT will create an IT Governance structure called Digital Investments Prioritization Council (DIPC) to ensure that information and technology investments, risks, and resources are aligned in the best interests of UND and produce business value.
  - Effective governance ensures that the right technology investments are made at the right time to support and enable UND’s mission, vision, and goals.
  - The procedure will include formal project management methodologies from project intake to prioritization based on a set of criteria (strategic alignment, risk management, ROI, user experience, and ability to execute).



- UIT will make recommendations to the council on what investments to undertake. The council will make the final decision on what projects to move forward.
- **Windows 11 Deployment**
  - Microsoft has set the end of support for Windows 10 for October 2025. In order to maintain system security and provide full technical support for our Windows environment, UND will move to Windows 11.
  - This transition will begin in late May 2024 and progress across campus through the rest of the year. New / Reimaged computers will get Windows 11 from that point forward. UIT has set a goal of upgrading all compatible systems to Windows 11 by December 2024. (Note: some existing computers may not be compatible with Windows 11 due to hardware age and/or research needs. UIT will have a conversation with the device owners for options.)
  - UND Windows users can request to be updated now or wait for us to reach out to schedule the upgrade. Look for communications from UIT in the next few weeks.
- **Patch Mondays**
  - Maintaining the security and stability of the UND computing environment is UIT's highest priority. Regular and timely system and application patching is critical to providing the highest level of protection for UND systems and data.
  - Beginning in June 2024, UIT will begin automated patching of all UND Windows computers managed by UIT. This will take place on a designated day each month. We are currently planning on releasing patches on the fourth Monday of the month. UIT is finalizing the testing of the process to make sure it is a stress-free experience for all.
  - Windows users will receive patches automatically. Patches will be installed in the background. Users should be aware that some patches will require system and/or application restarts to complete installation. In the case where a restart is required, users will have the option of deferring the restart up to 3 times, allowing one day's time for each deferral. Note that required restarts will occur automatically on the 4<sup>th</sup> day. UIT will publish more details on the patching process as we approach the 4<sup>th</sup> Monday of June.