

# Wake Forest University

## *Graduate School of Arts and Sciences*

### **Student Handbook 2010-2011**



**WAKE FOREST**  
UNIVERSITY

GRADUATE SCHOOL *of*  
ARTS & SCIENCES

Reynolda Campus • 1834 Wake Forest Road • Winston-Salem, NC 27109 • 336.758.5301 • [gradschl@wfubmc.edu](mailto:gradschl@wfubmc.edu)

Bowman Gray Campus • Medical Center Boulevard • Winston-Salem, NC 27157 • 336.716.4224 • [bggrad@wfubmc.edu](mailto:bggrad@wfubmc.edu)

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# **Graduate Student Academic Honor Code**

*Graduate School of Arts and Sciences  
School of Divinity  
Wake Forest University*

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## **PART 1: THE HONOR CODE**

### **ARTICLE I. Preamble and Purpose**

The purpose of this Graduate Honor Code (*hereinafter “the Code” or “the Honor Code”*) is to provide guidance for student conduct with respect to academic pursuits.

The Code applies to all students enrolled in the Wake Forest University Graduate School of Arts and Sciences or the Divinity School of Wake Forest University. All forms of academic work performed by any graduate student enrolled on a part-time or full-time basis shall be subject to the stipulations of the Honor Code. Such work includes, but is not limited to, course work, lab work, thesis or dissertation work, research, and teaching. Upon acceptance for admission to the Graduate School of Arts and Sciences or the Divinity School, entering students will be informed of the Code. It is the responsibility of new students to be adequately informed of the Code, including all key provisions, such as, but not limited to, the affirmative duty to report offenses, the scope and limits of the Honor Code, and the names of the current officers. New students shall be required to sign a statement indicating that they were present for the informational session and that they agree to comply with the Honor Code. Changes in the Honor Code will be published and distributed to students upon adoption. Students are charged with notice of, and are bound by, this Code. Copies of the Code are available from the offices of the Dean of the Graduate School of Arts and Sciences and the Dean of the Divinity School. *For students in the Graduate School, final decisions on sanctions due to violations of the Code rest with the Dean of the Graduate School. For students in the Divinity School, final decisions on sanctions due to violations of the Code rest with the Dean of the Divinity School.*

The Code applies only to alleged misconduct identified in Article III or Article IV which occurs in academic pursuits or within the University community. Policies pertaining to other misconduct within the University community continue to apply, and the faculty and the administrations of the appropriate graduate program are responsible for enforcement of such other policies (*See Article IX for a definition of “appropriate”*).

### **ARTICLE II. The Code**

**We conduct our academic endeavors with honor, integrity and professionalism. We do our own work, credit the work of others, and provide the full truth about our work.**

### **ARTICLE III. Scope and Jurisdiction**

#### **Section 1. Honor Council Original Jurisdiction**

The Graduate School Honor Council (*hereinafter “the Honor Council”*) shall have original jurisdiction to hear and to determine charges of lying, cheating, stealing, vandalism, deception, research misconduct, or failure to report an Honor Code violation by any Graduate School or Divinity School student in his or her academic pursuits or within the University community. *These terms should be construed to have their ordinary, non-legal meaning.*

#### **Section 2. Faculty Retention of Jurisdiction**

All disputes will be handled by the Honor Council except in instances where the cases cannot be addressed by the Honor Council in a timely manner, such as between academic terms. In this situation the Graduate School or Divinity School administration and the relevant program faculty will have jurisdiction over the handling of the misconduct case.

### **ARTICLE IV. Duty to Report an Honor Code Violation**

A student, faculty member or staff member that reports an Honor Code violation is referred to as the Reporter. The individual accused of an Honor Code violation is referred to as the Respondent. Any

faculty or staff member may report an Honor Code violation or suspected violation to the Chairperson or Secretary of the Honor Council *or, in the event such persons cannot be reached, to the Dean of the Graduate School or Divinity School as appropriate. The Chairperson or Secretary should inform the relevant Dean that a violation has been reported, although no action on the part of the Dean is needed at this time.* Students who have knowledge of, have witnessed or reasonably believe that they have witnessed *or have knowledge of an Honor Code violation* should report the violation or suspected violation to the Chairperson or the Secretary of the Honor Council within a reasonable time, not to exceed five academic days (as defined in Article IX). This report should include the name of the Reporter and the Respondent, the date on which the report is submitted, the date of the violation of the Code, the charge and the description of the purported violations, and the names of other witnesses. If the Chairperson or Secretary cannot be reached to make a report, then the student should report to the *appropriate* Dean. The report may also be filed at a later date if the appropriate Dean determines that special circumstances existed that prevented the report from being filed within the five-day time period. The failure of any student to comply with this affirmative duty to report (except in the circumstances referred to above) shall be a violation of the Code. Refusal to testify before the Honor Council, or failure to do so without good cause, is also a violation of the Code; however, no person shall be compelled to be a witness against himself or herself, or to testify against his or her spouse.

## **PART 2: THE HEARING, SANCTIONS AND APPEALS PROCEDURES**

### **ARTICLE V. Pre-Hearing Procedures**

When a report of an Honor Code violation or suspected violation is received, the Chairperson of the Honor Council shall convene, in a timely manner, a Pre-hearing Subcommittee composed of the Chairperson, the Secretary, *one (1)* a faculty member from the Honor Council and *two (2)* students from the Honor Council. Members of the Pre-hearing Sub-committee may not be from the same department as the Reporter or Respondent; *if the Chairperson or the Secretary is from the Reporter or Respondent's department, a member of the Honor Council will be asked to serve in that person's role for the pre-hearing and hearing procedures for the particular case.* The Sub-committee will consider the report and all members contribute to the *make a decision* as to whether the accusation falls under the prohibited conduct described in Article III, Section 1. If it does not, this decision will be conveyed promptly in writing by the Secretary to the Reporter, the *appropriate* Dean and the Chairperson. No further action will be taken. The Chairperson will destroy the report and any accompanying records. If the Pre-hearing Sub-committee determines that the accusation does include an act or acts that may constitute a violation of the Honor Code, then a written report of the violation(s) as charged shall be prepared by the Secretary and provided to the Respondent promptly with copies to the Reporter, *the appropriate Dean*, the members of the Prehearing Sub-committee, the Respondent's Academic Advisor, and the Respondent's Program Director of the Respondent's department. This written report shall include the date, time and place of a hearing that will take place no sooner than five and no later than *14* academic days from the date of notification, as well as a full description of the Respondent's hearing rights.

### **ARTICLE VI. Hearing Procedures**

#### **Section 1. Name and Purpose**

The Hearing will be an administrative, not a legal, proceeding. Its purpose is to arrive at the truth.

#### **Section 2. Hearing Procedures**

The Panel for the Hearing will consist of the Chairperson, the Secretary and four (4) additional faculty members and four (4) student members of the Honor Council with the numbers of student and faculty members from the two campuses being as similar as possible. *The Chairperson shall appoint one of the faculty members as Solicitor who will coordinate the exchange of information between the Reporter, the Respondent and the student and faculty members of the Honor Council before and at the Hearing.* The Hearing shall be conducted by the Chairperson (who will not vote). The Secretary of the Honor Council shall not vote except in the case of a tie. The Solicitor does not vote.

### **Section 3. Time and Place of Hearing**

The Honor Council shall conduct its Hearing *between five and 14* academic days after the Chairperson's receipt of the Pre-Hearing Sub-committee's conclusion that such a Hearing is warranted. The time and/or place of the Honor Council Hearing may, with reason, be changed by a majority vote of the members of the Panel. The Honor Council should endeavor to conduct the Hearing as soon as practicable and the Hearing need not be held on an academic day. The Solicitor and the Respondent shall meet no less than twenty-four (24) hours prior to the Hearing to exchange witness lists *and clarify the kinds of evidence to be presented. If a witness(es) is (are) to be involved at the Hearing, this should be mentioned at this meeting; a "witness" is someone who viewed or otherwise acquired information relevant to the alleged Honor Code violation.* At that time the Respondent will also notify the Solicitor if he or she will have a representative (as defined in Article VII) for the Hearing. The Honor Council Hearing shall be closed to the public. The Chairperson and the Secretary shall make the selection of the Panel no later than forty-eight (48) hours before the beginning of the Hearing. Panel members shall not be from the same department as the Respondent or the Reporter. The members of the Panel will be supplied with the report against the Respondent when they are notified of their selection for the Panel. Should the Chairperson or the Secretary be unable to attend a Hearing or if the Chairperson and/or Secretary are from the same department as the Reporter or Respondent, the Panel shall select an appropriate member of the Honor Council to serve in the Chairperson's or Secretary's role for the duration of the Hearing. Should any member of the Panel conclude, upon reviewing the report and learning the identity of the Respondent, that he or she cannot render an impartial decision, then he or she shall notify the Chairperson and withdraw. In the event of a withdrawal, a new Panel member will be chosen by the Chairperson.

The Secretary of the Honor Council will make a summary record of the Hearing. An audio recording, video recording, or comparable recording will be made of the Hearing. This recording will be available to the Panel during their deliberations, to the Secretary in preparing the summary report, to the *appropriate* Dean for review of the Sanction or during the appeals process, and to the Respondent if he or she requests an appeal. The recording will become a part of the file to be kept by the *appropriate* Dean, and the entire file will be destroyed one year after the student graduates or withdraws from the program.

### **Section 4. Chairperson's Duties**

1. The Chairperson of the Honor Council shall preside at all Honor Council meetings and Hearings.
2. The Chairperson may require any person disrupting the orderly proceedings of a Hearing to leave.
3. The Chairperson shall have the right to declare a recess at any point in the Hearing.
4. The Chairperson shall inform the Panel, the Reporter and all others present at the Hearing that they shall not divulge any information about the accusation or the Hearing.
5. *The Chairperson shall appoint a faculty member serving on the Honor Council to serve as the Solicitor for each Hearing.*

### **Section 5. Secretary's Duties**

1. The Secretary of the Honor Council will notify in writing the Chairperson, the Dean of the Graduate School or Dean of the Divinity School and the Reporter of the Prehearing Sub-committee's decision about whether an alleged offense or offenses falls within the Honor Code's prohibited conduct.
2. The Secretary will provide to the Respondent a written report of the alleged offenses(s); the time, date and place of the hearing; and the rights of the Respondent within 48 hours after the Pre-hearing Sub-committee finds that an allegation or allegations does fall prohibited conduct. Copies of this written specification will also be given to the Chairperson, the Reporter, the *appropriate* Dean, the members of the Pre-hearing Sub-committee, the Respondent's Academic Advisor, and the Respondent's Program Director.
3. The Secretary will make a summary record of the Hearing.
4. The Secretary will cast the deciding vote in the case of a tie vote in the Panel Hearing and in the Sanctions Hearing.

## **Section 6. Solicitor's Duties**

1. *The Solicitor will coordinate the exchange of information between the Reporter, the Respondent and the members of the Hearing Panel.*
2. The Solicitor will begin questioning the Reporter, the Respondent and any witnesses as appropriate.
3. The Solicitor may make a closing statement at the end of questioning, summarizing the evidence in support of the charge of an Honor Code violation.

## **Section 7. Conduct of the Hearing**

The Chairperson shall call the Hearing to order by reminding the Respondent and all witnesses that they are honor bound to tell the truth before the Council. Any witness who is not bound by the Honor Code will be sworn in before he or she testifies. The Honor Council will create and maintain an appropriate oath and affirmation.

The Hearing shall be limited in scope to a determination of whether an honor code violation has taken place. *All sources of evidence that may reasonably be supplied and are likely to be helpful in establishing the veracity of the claim should be brought to such a hearing, with materials being distributed beforehand to the extent possible. The Chairperson shall have the authority to limit evidence (in any form) that, in the opinion of the Chairperson, did not serve the purpose of justice or whose relevance to the issues in the matter is minimal or redundant.* The Secretary shall read the written report to the Panel. If the Respondent admits to the charge(s) and stipulates to the facts as written in the report, then the Panel will only consider the question of sanctions, in a Sanctions Hearing. If the Respondent does not admit to the charges, *presentation of evidence* and questioning will begin. The Reporter and any other witnesses shall be questioned by the Solicitor regarding the charge(s). At the conclusion of the questioning of each witness called by the Solicitor, the Secretary and each member of the Panel shall be given the opportunity to ask questions. Then, the Respondent or a representative chosen by the Respondent may ask additional questions. Questioning shall proceed until all parties are satisfied that the witnesses can furnish no further relevant information.

## **Section 8. The Respondent's Rebuttal**

At the conclusion of the evidence in support of the charges, the Respondent or the Respondent's representative may present evidence, including witness testimony, rebutting the charges of an Honor Code violation. At the conclusion of the testimony of each witness called by the Respondent, the Solicitor, the Secretary and each member of the Panel shall be given the privilege of asking questions. Questioning shall proceed until all parties are satisfied that the witnesses can furnish no further relevant information.

## **Section 9. Summary Statements**

A summary statement may be given by the Respondent or the Respondent's representative. A summary statement may be given by the Solicitor.

## **Section 10. Panel Duties**

The Chairperson shall instruct the Panel as to the charge and the factors to be considered during the deliberation over the violation of the Code on the charge(s). Upon the conclusion of such instructions the Chairperson shall adjourn this phase of the Hearing. The Panel shall promptly conduct its deliberations in private and reach a decision on the charge(s). A decision that a violation of the Code has occurred shall require a simple majority vote by the Panel that the charge(s) have been *proven by a preponderance of the evidence*. An abstaining vote is not a vote confirming the violation. In the case of a tie the Secretary shall vote. If there are not at least four (4) votes finding a violation of the Honor Code, then the charge(s) are not supported have not been proven. In determining whether there was a violation of the Code, it shall be improper to consider extraneous matters the Panel should only consider evidence and testimony that was presented at the Hearing. Upon reaching their findings, decision, the Panel shall inform the Chairperson in writing. The findings decision shall then be reported by the Chairperson *to* the Reporter and the Respondent. The Chairperson will then dismiss the Panel by reminding each member that he or she is forbidden to divulge any information about the Hearing.

### **Section 11. The Sanction Hearing**

If the Panel finds that there was a violation of the Code, the Chairperson shall reconvene the Panel for a Sanction Hearing with the Respondent present. This hearing should take place *as soon as possible; it may be held directly following the Hearing but must take place within five days*, and should be held in private. First, the Solicitor may present facts, evidence, and arguments as to the sanction(s) being sought. Second, the Respondent or the Respondent's representative may present mitigating facts, evidence and arguments. At the conclusion of the arguments the Chairperson shall adjourn the Panel to deliberate the sanctions to be imposed. The Panel shall promptly conduct its deliberations in private and shall reach a decision.

Recommendations *Decisions regarding* a particular sanction shall require a simple majority vote in favor of the sanction. In the case of a tie, the Secretary shall vote. If a Panel is able to agree upon a particular sanction, it must recommend that sanction. If a Panel is unable to agree upon a particular sanction, then the selection of the sanction shall be made by the *appropriate* Dean. A Panel may not recommend decide that no sanction be imposed. If *Once* a decision as to a particular sanction is reached, the Panel shall announce its finding to the Chairperson. Before releasing the Panel, the Chairperson shall remind the members of the Panel that they are forbidden to divulge information about the findings or sanctions without the written approval of the Respondent.

### **Section 12. Notifications of Findings**

The finding of the Panel's regarding the findings and recommended sanctions decision on the sanctions to be imposed shall be promptly conveyed to the Respondent by the Chairperson of the Honor Council. The findings and recommended sanctions shall be reported to the *appropriate* Dean in a timely manner. All copies of the record, findings and recommendations shall be transferred to the *appropriate* Dean for retention *in accordance with applicable Graduate School of Divinity School policies*.

### **Section 13. Appeals Procedure**

A student found in violation of the Honor Code may appeal the decision or the sanction of the Panel to the Secretary of the Graduate Council. Written notice of appeal from the Respondent or his/her representative shall be given to the Secretary of the Graduate Council within 10 academic days after the Sanction Hearing. The Graduate Council consists of 6 elected faculty members from the Reynolda campus, 6 elected faculty members from the Bowman Gray campus and two Graduate Student Representatives. The Dean and Associate Deans of the Graduate school are *ex-officio* members of the Graduate Council and will not take part in the appeals procedure. The Dean of the Divinity School is not a member of the Graduate Council.

The Graduate Council will be provided with a copy of the written specifications report of the charge, the summary records kept by the Honor Council Secretary during the hearing, and the written appeal of the Respondent. The Graduate Council will meet in a timely manner to consider the Honor Council's decision and the appropriateness of the suggested sanction. The Graduate Council will decide whether to support the findings and sanctions of the Honor Council or whether to recommend changes. A written notice of their decision will be given to the *appropriate* Dean by the Secretary of the Graduate Council in a timely manner.

### **Section 14. Final Disposition**

The *appropriate* Dean shall consider the findings *and sanctions* of the Hearing Panel, the recommended sanction, and the recommendations of the Graduate Council in the case of a Respondent's appeal and any alleged exceptional circumstances and shall *make a decision to accept or alter either the findings and or the sanctions*. The office of the *appropriate* Dean shall have the responsibility of processing and supervising the imposition of sanction. The decision of the Dean shall be final.

### **Section 15. Sanctions**

The sanctions which the Panel shall recommend *may be imposed* in the case of a Honor Code violation and which the appropriate Dean will consider will ordinarily be selected from the following (more than one of the sanctions may be imposed when deemed appropriate):

- a. **Notice and Censure:** A written reprimand that continuation of conduct in violation of the Honor Code may be cause for more severe disciplinary sanctions. This may include a warning or more severe disciplinary sanction in the event of the determination of a subsequent violation within a stated period of time.
- b. **Restitution:** Reimbursement for defacement, damage to, or misappropriation of property, whether that of the University, any member of the University community, any guest or visitor of the University *or any third party*.
- c. **Suspension:** Exclusion from classes and other privileges and activities with forfeiture of academic credit as set forth in the notice of suspension from the office of the Dean of the Graduate School. Sanctions for the Honor Code violation of cheating shall ordinarily include a recommended “F” or failing grade in the course involved and authorized withdrawals in the student’s other courses, regardless of the semester that the offense was committed. If a suspension for a definite time is more than one semester, the suspension shall begin immediately and shall be served in consecutive semesters.
- d. **Expulsion:** Termination of student status, with readmission subject to the approval of the program faculty and the *appropriate* Dean. No petition for readmission may be considered before the expiration of one calendar year from the date of expulsion. Sanctions for the Honor Code violation of cheating shall ordinarily include a recommended “F” or failing grade in the course involved and authorized withdrawals in the student’s other courses, regardless of the time in the semester that the offense was committed.

## **ARTICLE VII. Rights of the Respondent**

The Respondent shall have the following rights:

1. A right to have the charges against him or her submitted in writing and to receive the written charges before the beginning of the hearing.
2. A right to a copy of procedures established by the Honor Code for the hearing of alleged Honor Code violations. This shall be given to him or her at the same time as the notice of the charge or charges.
3. A right to separate hearings where two or more students are reported to have participated jointly in a violation. If none of those accused of joint participation request separate hearings, they may have a joint hearing or separate hearings as the Pre-hearing Sub-committee determines.
4. A right to know the nature of the evidence and, when practical, to examine the evidence before the hearing.
5. A right to appoint a Representative to question witnesses, to give a summary statement at the Hearing and to be present at the Sanctions hearing. The Representative will be a faculty member, staff member or student from the Wake Forest University Graduate School. Legal counsel can attend the hearing and advise the Respondent, but may not participate in the hearing. *Law students are not permitted to assist the Respondent or to participate in the Hearing.*
6. A right to summon witnesses and to testify on his or her own behalf, but the number of character witnesses, if any, may be reasonably limited by the Chairman of the Honor Council.
7. A right to meet with the witnesses, and to question them during the Hearing, *subject to limitation by the Chairperson of the Honor Council.*
8. A right not to be compelled to testify against himself or herself.
9. The Respondent’s spouse cannot be compelled to testify against him or her.
10. A right to present evidence of extenuating circumstances, *subject to limitation by the Chairperson of the Honor Council.*
11. A right not to be tried for one offense, and convicted of another, e.g., lying before the Council, without the same opportunity to defend against the other charge.
12. Until the Hearing and Appeals processes are complete, the Respondent has the right the right to participate in any University function except the following: participating in graduation exercises, receiving a degree, or receiving academic credit for courses taken during the semester in which the violation is alleged to have occurred, or other activities specifically prohibited by the appropriate Dean.

## **ARTICLE VIII. Organization of Honor Council**

### **Section 1. Membership and Election**

The membership and election of the Honor Council shall be determined as follows:

- a. The Honor Council shall be comprised of sixteen (16) faculty members, eight (8) each from the Bowman Gray and Reynolda campuses and one (1) student from each department or program.
- b. Faculty members of the Honor Council will be appointed by the *appropriate* Dean. Appointments are effective August 1st September 15th of each calendar year. Members of the Graduate Council may not be appointed to the Honor Council.
- c. Student members of the Honor Council are appointed by the chair or program director of each department or program, one (1) from each department or program. Appointments are effective August 1st September 15th of each calendar year. Graduate Student Association chairs and representatives may not be appointed to the Honor Council.
- d. A student appointed to the Honor Council serves a one-year term. A faculty person appointed to the Honor Council serves a two-year term. Students and faculty may be appointed for up to three consecutive terms.

### **Section 2. Election of Officers**

After appointment of new members, the Honor Council as a whole shall elect one (1) faculty member to serve as Chairperson, one (1) *faculty person* to serve as Secretary through July 31 September 14th of the following calendar year. The Chair and the Secretary should not be from the same department.

### **Section 3. Pre-hearing Sub-committee Selection**

The Pre-hearing Sub-committee will consist of the Chairperson, the Secretary, one (1) faculty member of the Honor Council and *two (2)* student members of the Honor Council, The Chairman and Secretary will choose these three members, ensuring as equal a representation of the two campuses *as possible* and ensuring that the members to do not come from the same department or program as the Reporter or the Respondent. A faculty member of the Honor Council shall act as Solicitor.

### **Section 4. Hearing Panel Selection**

The Panel will be comprised of the three (3) faculty members and four (4) student members of the Honor Council chosen by the Chairperson and the Secretary. The faculty members and students will be chosen to ensure as equal a representation between the two campuses as possible and to ensure that no member of the Panel is from the same department or program as the Reporter and the Respondent. To assure fairness to the Respondent and to equalize the burden of members of the Honor Council, ordinarily members chosen to serve on a Panel will be removed from the pool for the remainder of the calendar year, unless all council members have served, at which time all members will be returned to the list of potential jurors.

### **Section 5. Maintaining Readiness**

Members of the Honor Council accept the duty of developing and maintaining their understanding of the Honor Code.

## **Article IX. Miscellaneous**

*“Appropriate Dean”* refers to the Dean charged with the primary responsibility for overseeing the program in which the Respondent is enrolled. An academic day is a day on which regularly scheduled classes are held, not including summer sessions.

Research misconduct is covered by two on-line documents for the Reynolda campus (<http://www.wfu.edu/rsp/compliance.html> WFU Policy on Scientific Misconduct) and for the Bowman Gray campus ([http://www.wfubmc.edu/or/pp\\_man.html](http://www.wfubmc.edu/or/pp_man.html) Operations and Policy Handbook). While these policies are written for scientific research misconduct, for the purposes of this document, the policies apply to research misconduct in any field.

## **Disability Procedures**

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Wake Forest University is an equal access institution which admits qualified applicants without regard to disability. When a student with a disability is admitted, the University seeks to accommodate those needs that are determined to be reasonable and that do not compromise the integrity of the curriculum.

### Disability Officers

#### **For medical or mobility issues - Bowman Gray Campus**

Dr. Scott Spillmann  
Office: Employee Health, Ground Floor Meads Hall  
Phone: 716-4801

#### **For medical or mobility issues – Reynolda Campus**

Dr. Cecil Price  
Office: Student Health Center  
Phone: 758-5218

#### **For learning issues - Bowman Gray Campus and Reynolda Campus**

Dr. Van Westervelt  
Office: Learning Assistance Center, Room 117 Reynolda Hall  
Phone: 758-5929

### Making the disability known

The student is responsible for notifying the appropriate Graduate School office of any disabilities prior to/or during orientation for which an accommodation is needed.

If a student develops a disability after matriculation for which he/she needs an accommodation, then it will be the responsibility of the graduate student to inform the Graduate School of this fact.

In all cases, a disability notification is used to arrange future accommodations but cannot be used as a basis for retroactively changing academic evaluations or grades. Furthermore, accommodations are made not to waive requirements but to give the student equal opportunity to meet those requirements.

The information given to the disability officer will be treated confidentially and will be shared with university administrators and faculty members only to the extent necessary to reach decisions and take actions on requests for accommodations.

### Procedure for handling requests for accommodations

Accommodations for disabilities should be based on recommendations from the appropriate campus disability officer, not program directors or individual faculty.

A student with a disability for which he/she wishes an accommodation should make an appointment with the appropriate campus disability officer as soon as possible. It is assumed that this appointment will be made before the semester begins if at all possible. At least ten working days before this first meeting, the student should send documentation of the disability and a set of specific accommodations requested for the disability. The documentation should follow the guidelines found at the website [www.wfu.edu/campuslife/lac](http://www.wfu.edu/campuslife/lac).

Wake Forest University reserves the right to determine the appropriateness of submitted documentation and requests for accommodation on a case by case basis, using the professional judgment of the disability officer. Additional information may be requested to verify the disability and to make a decision on accommodations.

If the disability officer determines that accommodations are appropriate, a letter describing these accommodations will be written. A new letter will be required for each academic year. The student has the responsibility of showing this letter each semester of the academic year to any supervising persons in order to receive the accommodation. The student should be careful to do this over various courses, lab assignments, etc.

A supervisor who is shown this letter should discuss the accommodation with the student and make appropriate arrangements. If there are any questions, the supervising person should discuss the accommodation with the appropriate contact person.

#### Identifying a disability while enrolled

A student who thinks that he/she might have a disability should contact the appropriate campus disability officer. The student may be asked to undergo a formal evaluation for that disability to determine the need for reasonable accommodations. This evaluation is paid for by the student.

For a possible Learning Disability or Attention Deficit Hyperactivity Disorder (ADHD), students on both campuses can receive a screening evaluation at no direct cost to the student. Temporary accommodations may be recommended while this screening process is being made. If this screening evaluation determines that a student may have a disability, then the student will be referred to a provider for a formal evaluation. This formal evaluation will be paid for by the student.

## **Statement of Philosophy of the Mentoring Relationship Between Graduate Students and Advisors**

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Masters and doctoral graduate student training are comprised of both classroom instruction and an apprenticeship relationship with one or more faculty members. Each individual who pursues a graduate degree has ultimate responsibility for his/her education and professional development. Likewise a faculty member who advises a student has a responsibility to foster the successful development of the student into a member of the profession. Additionally, Wake Forest University Graduate School of Arts and Sciences has responsibilities to both the student and the faculty advisor to maintain and promote an environment that supports quality training programs.

This document serves as a Statement of Philosophy about the mentoring relationship between graduate students and their faculty advisors, as well as the institutional responsibilities to facilitate that relationship. The purpose of this document is to function as a statement of guiding principles that can promote the student's successful completion of training, and guide their mentors' efforts. It does not supersede institutional rules and regulations.

### **Core Tenets of Graduate Training**

#### *Institutional Commitment*

Institutions that train graduate students must be committed to establishing and maintaining high-quality training programs that ascribe to scientific, humanistic and ethical professional standards. WFU will work to ensure that students who complete its programs are well-trained and possess the foundational skills and values that will allow them to mature into independent professionals with integrity. WFU's commitment in this regard includes provision of oversight for length of training, maintenance of scholarly integrity, appropriate financial support, established procedures for addressing grievances, and various professional development-related opportunities. These opportunities can include effective and regular career guidance activities, reasonable access to institutional services, and other matters relevant to the education and professional development of graduate students. Additionally, WFU will strive to recognize and reward its graduate training faculty in support of their education of graduate students.

#### *Program Commitment*

The WFU Graduate School endeavors to establish and maintain robust training programs that provide students with the knowledge and career skills needed to function and succeed as independent professionals in their chosen fields. This commitment implies the maintenance of relevant course offerings and appropriate research opportunities. Each program of study in the Graduate School should have clearly defined procedures for assessment of students and closely monitor the progress of students during their courses of study.

#### *Commitment to Outstanding Faculty Mentoring*

Effective mentoring is crucial for graduate school trainees as they prepare for their careers. Faculty mentors should understand that such mentoring requires a commitment of substantial time and energy in order to ensure each student's professional and personal development. Furthermore, the mentor must recognize that the success of the relationship hinges on mutual trust and respect. Effective mentoring should include teaching the method of inquiry for the specialty, providing regular constructive feedback and constructive criticism to foster professional maturation, teaching the conventions of the field of study, and promoting students' careers by providing appropriate opportunities for independent work and recognition. Effective mentors should strive to facilitate the student's completion of his or her thesis/dissertation, to help guide the student through the requirements for completion of the degree, and to advise the student to be knowledgeable of and act in accord with all university policies and procedures. Graduate student mentors should encourage students who seek to take a novel approach to achieving personal success. Good mentors should possess and exemplify high ethical standards, competent communication skills, recognize the contributions of students in all endeavors including publications and development of patentable devices or methods, and have a strong commitment to original research and scholarship. Good mentors should work to provide their students with an environment that is intellectually stimulating, emotionally supportive, safe and free of harassment. Lastly, where appropriate, the mentor should

maintain or identify financial support that is appropriate for the program of study, and that will allow the student to complete the requirements for the degree.

### *Commitments of Graduate Students*

Effective mentoring is a dynamic relationship between the faculty advisor and the graduate student. As such, in addition to the desired commitments of faculty members, students share an equal responsibility for their educational success as they prepare for their careers. First and foremost, students have the primary responsibility for the successful completion of their degree. Towards that end, students need to dedicate themselves to their scholarship and research, as advised by the faculty mentor. This includes pursuing opportunities to develop the necessary skills to succeed in the desired field of study and chosen profession, and when appropriate, taking advantage of the various resources that are made available for personal and professional development. The student must also recognize that the success of the mentoring relationship with their faculty advisor hinges on mutual trust and respect. Similar to their faculty advisor, students should possess and exemplify high ethical standards, strive to manifest competent communication skills, recognize contributions of fellow students, and have a strong commitment to original research and scholarship. Students should also work to provide themselves, fellow students, staff, and faculty with an environment that is intellectually stimulating, emotionally supportive, safe and free of harassment. The student is to be knowledgeable of and act in accord with all university policies and procedures. Lastly, where appropriate, the student should work with his or her mentor to identify financial support that is appropriate for the program of study, and that will allow the student to complete the requirements for the degree.

## Graduate Student Rights and Responsibilities

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### Introduction

Wake Forest University exists for the transmission of knowledge, the pursuit of truth, the development of students, and the well-being of society. Free inquiry and free expression are indispensable to the attainment of these goals. The Graduate School of Arts and Sciences is committed to providing an environment which will encourage graduate students to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. The Graduate School is also dedicated to the principles of honor, mutual respect, and trust among the faculty and students. The common observance of professional ethics is basic to the study and research in which we are engaged.

#### a. Rights

The minimal standards of academic freedom of graduate students outlined below are essential to any community of scholars. Any violations of these standards may be grounds for a student to initiate the grievance process.

##### 1. Freedom of Access to Higher Education

The facilities and services of the University should be open to all of its enrolled students, and the University should use its influence to secure equal access for all graduate students to public facilities in the local community.

##### 2. The Classroom and Research Environment

Graduate student performance will be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to academic standards.

###### a. *Protection of Freedom of Expression*

Graduate students are free to take reasoned exception to the data or views offered in any course of study or research activity and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.

###### b. *Protection Against Improper Academic Evaluation*

Graduate students have protection through orderly procedures (described in the section on Grievance Procedures) against prejudiced or capricious academic evaluation. At the same time, they are responsible for maintaining standards of academic performance established for the program in which they are enrolled.

###### c. *Protection Against Improper Disclosure*

Information about graduate student views, beliefs, and political associations which professors acquire in the course of their work as instructors, advisors, and counselors is considered confidential. Protection against improper disclosure is a serious professional obligation. Judgments of ability and character may be provided under appropriate circumstances, always with the knowledge or consent of the graduate student.

d. *Protection Against Harassment*

Graduate students have protection through orderly procedures (described in the section on Grievance Procedures) against physical (sexual, etc.) harassment and/or psychological abuse.

3. Student Records

To minimize the risk of improper disclosure, access to academic and disciplinary records should be considered separately. Transcripts of academic records will contain only information about academic status. Information from disciplinary or counseling files will not be available to unauthorized persons on campus, or to any person off campus without the written consent of the graduate student involved, except where a judicial order of subpoena compels disclosure or health safety emergency cases are involved. No records will be kept which reflect the political activities or beliefs of graduate students. The Dean of the Graduate School should make provision for periodic review and possible destruction of non-current disciplinary records. Administrative staff and faculty members should respect confidential information about graduate students which they acquire while working with them.

4. Student Affairs

a. *Freedom of Association*

Graduate students bring to the campus a variety of interests previously acquired and develop many new interests as members of the academic community. They are free to organize and join associations to promote their common interests.

b. *Freedom of Inquiry and Expression*

Graduate students and their organizations are free to examine and discuss all questions of interest to them, and to express opinions publicly and privately. They are free to support causes by orderly means which do not disrupt the regular and essential operation of the University.

Graduate students and their organizations will be allowed reasonable access to University facilities for academic purposes, organizational meetings, sponsored lectures, etc. Those routine procedures required by the University for obtaining access to facilities are designed only to insure that there is orderly scheduling of facilities as well as adequate preparation for the event, and that the occasion is conducted in a manner appropriate to an academic community. Graduate students and their organizations are allowed to invite and to hear any person of their own choosing. The University's control of campus facilities cannot be used as a device of censorship.

c. *Student Participation in University Government*

As constituents of the academic community, graduate students are free, individually and collectively, to express their views on issues of University policy and on matters of general interest to the graduate student body.

5. Off-Campus Freedom of Students

If activities of graduate students upon occasion result in violation of law, University officials should be prepared to apprise students of sources of legal counsel and may offer other assistance. Graduate students who violate the law may incur penalties prescribed

by civil authorities. Only where the University's interests as an academic community are clearly involved should the special authority of the University be asserted to consider off-campus violations. The graduate student who incidentally violates University regulations in the course of his/her off-campus activity is subject to no greater penalty than would normally be imposed for such infractions.

b. Responsibilities

The faculty expects students to be mature and responsible members of the community, offers guidance in their freedom to learn, and subscribes to the statement of their rights.

Those rights are linked to the student's commitment to academic integrity and responsible behavior as a member of the University community.

Infractions of academic integrity include plagiarism, cheating on examinations, misrepresentation of the work of other scholars, and the falsification or fabrication of data in reporting one's own research. These infractions, as well as acts that disrupt the educational environment and any violations of local or federal law which occur on the university campus or during University sponsored activities, can be grounds for disciplinary action which may include dismissal from graduate school.

## **Equal Opportunities Act**

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Wake Forest University is committed to administer all educational and employment activities without discrimination because of race, color, religion, national origin, age, sex, veteran status, handicapped status or disability as required by law. In addition, Wake Forest University rejects hatred and bigotry in any form and adheres to the principle that no person affiliated with Wake Forest should be judged or harassed on the basis of perceived or actual sexual orientation.

In affirming its commitment to these principles, Wake Forest does not limit freedom of religious association or expression, does not presume to control the policies of persons or entities not affiliated with Wake Forest, and does not extend benefits beyond those provided under other policies of Wake Forest. The University has adopted a procedure for the purpose of resolving discrimination complaints. Inquiries or concerns should be directed to: Reynolda Campus--Doris McLaughlin, Director of Equal Opportunity and Employee relations Manager, Human Resources (336) 758-4814, [mclaugca@wfu.edu](mailto:mclaugca@wfu.edu); Bowman Gray Campus--Sandra Hartley, assistant director of personnel at (336) 716-6123, [shartley@wfubmc.edu](mailto:shartley@wfubmc.edu).

## **The Family Educational Rights and Privacy Act (FERPA)**

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The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records. They are:

1. Right to inspect and review the student's education records within 45 days of the day the University receives a request for access. Students should submit to the registrar, dean, head of the academic department, or other appropriate official, written requests that identify the record(s) they wish to inspect. The University official will make arrangements for access and notify the students of the time and place where the records may be inspected. If the records are not maintained by the University official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be made.
2. The right to request amendment of the student's education records that the student believes are inaccurate or misleading. Students may ask the University to amend a record that they believe is inaccurate or misleading. The student should write the University official responsible for the record, clearly identify the part of the record they want changed, and specify why it is inaccurate or misleading. If the University decides not to amend the record as requested by the student, the University will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.
3. The right to consent to disclosures of personally identifiable information contained in the student's education records, except to the extent that FERPA authorizes disclosures without consent. One exception which permits disclosure without consent is disclosure to school officials with legitimate educational interests. A school official is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including law enforcement personnel and health staff); a person serving on the Board of Trustees; a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks; or a person, company, or governmental unit with whom the University has contracted to perform duties or services involving education records. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Upon request, the University discloses education records without consent to officials of another school in which a student seeks or intends to enroll.

The following information regarding students is considered directory information: (1) name, (2) address, (3) telephone number, (4) electronic mail addresses, (5) date and place of birth, (6) major field of study, (7) enrollment status (full or part-time), (8) participation in officially recognized activities and sports, (9) weight and height of members of athletic teams, (10) dates of attendance, (11) degrees and awards received, (12) the most recent previous educational agency or institution attended by the student, and (13) other similar information such as a photograph. Directory information may be disclosed by Wake Forest for any purpose in its discretion without the consent of the student. Students have the right to refuse to permit the designation of any or all of the above information as directory information. In that case, this information will not be disclosed except with the consent of the student, or as otherwise allowed by FERPA.

Any student refusing to have any or all of the designated directory information disclosed must file written notification to this effect with this institution at the appropriate Graduate School office. Forms are available at that office

If a refusal is not filed, Wake Forest assumes that a student does not object to the release of the directory information designated.

4. The right to file a complaint with the U.S. Department of Education concerning alleged failures by the University to comply with the requirements of FERPA. The name and address of the Office that administers FERPA is: Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202-4605.

## **Graduate Student Non-Academic Grievance Procedures**

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Grievances of a non-academic nature, such as discrimination or harassment, should be taken to the Chair or Graduate Program Director of the student's department, to the Dean of the Graduate School, to the Equal Employment Opportunity Office, Room 116 Reynolda Hall (Reynolda Campus, telephone 758-4814), or to the Office of Human Resources, Fifth Floor, Plaza I (Bowman Gray Campus, telephone 716-6123). See the Wake Forest University Sexual Harassment Prevention Policy in this handbook.

## Graduate Student Academic Grievance Procedures

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### 1. Initial Response to Perceived Academic Grievance

(Throughout this document, it is understood that "faculty member" and "student" may refer to more than one person.)

Situations may arise in which a student believes that he or she has not received fair treatment from a faculty member in an academic matter. In such cases, within two weeks of the student's awareness of the treatment he or she should talk with the faculty member. If the student and faculty member cannot resolve the problem, the student should immediately consult his or her advisor, the Director of the Graduate Program in the involved department, or the Chair of the department in order to initiate the department's internal grievance procedure (procedures may vary from department to department). If a resolution satisfactory to both parties cannot be reached in a reasonable time, which can vary according to the complexity of the matter, the student may choose to initiate the Graduate Student Academic Grievance Procedure. Initiation of the procedure must be no later than three months after failure to achieve resolution within the department. Failure to initiate the procedure within three months forfeits the student's right to file a grievance with the Graduate School.

### 2. Faculty Liaison Persons

The student should first contact either of the two graduate School faculty members, one from the Bowman Gray Campus and one from the Reynolda Campus, who serve as liaisons for graduate students wishing to file a grievance. The Faculty Liaison Persons, who serve a three-year term, are appointed by the Dean of the Graduate School from two candidates from each campus nominated by the Graduate Student Association. They do not serve as advocates for the student, but are available to advise the student concerning academic problems and grievances and to help the student initiate and continue with the grievance procedure. At the student's request, a Faculty Liaison Person may be present during any hearings by the Grievance Committee in order to provide advice to and to insure fair treatment of the student. A graduate student on each campus, recommended by the Graduate Student Association, is also appointed by the Graduate Dean to provide advice and to introduce students to the grievance procedure, and students with a grievance may, but need not, consult them. Names, addresses, and phone numbers of both Faculty Liaison Persons and student advisers can be obtained from the Graduate School office on either campus (*or click [here](#) for a complete listing of the Graduate School Council Members and Liaisons with links to their e-mail addresses*).

### 3. Written Petition

After consulting a Faculty Liaison Person, the student should submit to the Dean of the Graduate School a written petition requesting initiation of the Graduate Student Academic Grievance Procedure. The petition must include the name of the faculty member against whom the grievance is filed, the specific charge, information about the grievance, and the action or relief requested by the student. If appropriate at this time, documentary material may be submitted in support of the grievance, although such material may be reserved until requested by the Chair of the Grievance Committee. At the time the grievance is submitted, the Dean of the Graduate School shall confer with the student to ensure that the student has spoken with the faculty member involved, gone through the department grievance procedure, and contacted a Faculty Liaison Person.

### 4. Grievance Committee

Upon receiving a grievance petition, the Dean of the Graduate School shall appoint a five-member Grievance Committee composed as follows: a Chair who is a member of the Graduate Council; two faculty members from the graduate faculty at large; and two graduate students

selected from a list provided by the Graduate Student Association. Both the student filing the grievance and the faculty member against whom it is filed shall be informed of the names of all members of the Grievance Committee. In appointing members of the Grievance Committee, the Dean of the Graduate School will ensure that no conflict of interest will occur. A new committee shall be appointed for each grievance.

#### 5. Grievance Procedure

The Dean of the Graduate School will forward copies of the grievance petition to the Grievance Committee, the Faculty Liaison Person with whom the student has consulted, and the faculty member against whom the grievance is filed. The faculty member will then have fourteen days to respond in writing to the grievance. This response will be returned to the Dean of the Graduate School, who will forward copies to the Grievance Committee, the Faculty Liaison Person, and the student filing the grievance.

Within fourteen days of receiving the faculty member's response to the grievance, the Chair shall convene the Grievance Committee to review the charges, to determine if more information and documentation are needed, and to plan and schedule the Grievance Hearing. The Hearing shall be scheduled no sooner than fourteen days but no later than twenty-eight days after the initial committee meeting. The Chair of the Grievance Committee shall ask the parties involved to submit to the Graduate School any further documentation. In addition, each party will submit a list of witnesses who will appear at the Hearing in support of their position, with a one-sentence summary of the information each witness will present. All documentation and the list of witnesses must be submitted at least seven school days prior to the scheduled Hearing. After that time, no additional material or witnesses may be introduced or presented, unless of a compelling nature relevant to either the student or faculty member. In such cases the Chair of the Grievance Committee may allow the additional material or witnesses. The Graduate School shall insure that each committee member and both parties involved receive copies of all material and a list of witnesses at least five school days before the scheduled Hearing, and immediately if additional material or witnesses are allowed.

#### 6. Grievance Hearing

The Chair shall preside over the Grievance Hearing, and will vote only to break tie votes of the Grievance Committee. All voting shall be done by secret written ballot. All proceedings during the Hearing shall be recorded on equipment provided by the Graduate School. At all times during the Hearing, the student may have the Faculty Liaison Person present, and both parties may be represented by legal counsel or another representative.

The purpose of the Hearing is to obtain information which the Grievance Committee can use to make a final evaluation and recommendation to the Dean of the Graduate School. At all times the Chair of the Grievance Committee shall maintain a civil, reasonable atmosphere.

The Hearing shall proceed in the following manner. First the student who filed the grievance, or a representative, will be given the opportunity to discuss the grievance and to review the documentation submitted by both parties, including the response by the faculty member to the grievance. The faculty member, or representative, will then have the opportunity to ask questions of the student, after which any or all members of the Grievance Committee may ask questions. The student may then present witnesses, who can be asked questions by the faculty member and the Grievance Committee.

When the student has presented all of his or her material and witnesses, the faculty member, or representative, will be given the opportunity to discuss the grievance and to review the documentation submitted by both parties, including the original grievance petition. The student, or representative, may then ask questions, followed by questions from the Grievance Committee. The faculty member may then present witnesses, who can be asked questions by the student and

the Grievance Committee. Reasonable variations of this general procedure may be allowed by the Chair of the Grievance Committee.

During the Hearing witnesses will be present only while they are giving information to the Hearing and being asked questions. They will wait outside the hearing room until called by the Grievance Committee, and leave the Hearing after they have spoken.

If at any time during the Hearing either side, in the opinion of the Chair, in any way violates civil, reasonable conduct, the Chair may recess the Hearing for ten minutes. If such behavior continues, the Chair may postpone the Hearing for a maximum of one week.

After all material and witnesses have been presented by both sides, the faculty member and then the student, or their representatives, may make a concluding summary statement, touching on all matters they consider relevant to the grievance as filed. Following the student's summary statement, the Hearing will adjourn and the Grievance Committee shall deliberate.

The Grievance Procedure may be stopped at any time upon request of the student to withdraw the grievance. Once withdrawn, that grievance cannot be reactivated. The grievance procedure may be postponed only if either party has an emergency that prevents their preparing for or appearing at a Hearing. The party with the emergency must notify the Chair of the Grievance Committee, with documentation of the nature of the emergency, as soon as possible, and the Chair will determine if a postponement is justified.

7. Recommendation to the Dean of the Graduate School

Within three days after completion of the Grievance Hearing, the Grievance Committee will make a recommendation which will be sent in writing to both parties and to the Dean of the Graduate School.

8. Decision by the Dean of the Graduate School

From the time the recommendation is received by the involved parties and the Dean of the Graduate School, either party will have five days to appeal to the Dean of the Graduate School, in writing, the recommendation of the Grievance Committee. Within two weeks after receiving the recommendation, the Dean of the Graduate School will make a decision and provide a written explanation of the reasons for the decision to the Chair of the Grievance Committee and to the parties involved. The Dean of the Graduate School will also convey the decision to both the Chair and the Director of the Graduate Program of the department involved. The decision of the Dean of the Graduate School is final.

9. Records

All material related to the Grievance Hearing, including tapes of all sessions, shall be placed on confidential file in the Graduate School office for two years. After that time, all material except the written decision of the Dean of the Graduate School shall be destroyed.

10. Flow Chart

The following chart summarizes the Graduate Student Academic Grievance Procedure.



## Wake Forest University Sexual Harassment Prevention Policy

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### 1. Policy

Wake Forest University strives to maintain an educational and working environment free from sexual harassment. Sexual harassment by supervisors, co-workers, faculty or students will not be tolerated. Any sexual relationship between an employee (faculty or staff) and a student, whether consensual or not, will be regarded as a violation of this policy. Sexual harassment may result in disciplinary action which can include dismissal.

### 2. Definition

For purposes of this policy, sexual harassment is defined as unwelcome sexual advances, requests for sexual favors or other verbal or physical conduct of a sexual nature when: submission to the conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic success; submission to or rejection of the conduct by an individual is used as a basis for employment or academic decisions affecting the individual; or the conduct has the purpose or effect of interfering with an individual's work or academic performance or creating an intimidating, hostile or offensive work or academic environment. Examples of sexual harassment include repeated and unwelcome conduct involving one or more of the following: sexual flirtations, advances, propositions, sexually explicit statements, questions or jokes, displays of sexually explicit pictures, physical contact or touching or other conduct of sexual nature that is unwelcome and makes a reasonable person feel uncomfortable. Anyone who believes that he or she is being sexually harassed should make it clear that the conduct is unwelcome and unwanted, as this alone may stop the conduct.

### 3. Complaint Procedures

Any faculty member, employee or student who believes that he or she has been sexually harassed or has observed or been subject to a violation of this policy has a responsibility to bring the matter to the attention of an appropriate University Official, including the Vice President of Student Life, his or her Dean, the Provost, the Director of Equal Employment Opportunity and Training, his or her Department Chair or his or her supervisor. Complaints of sexual harassment will be treated seriously and will be promptly investigated with reasonable steps being taken to protect the confidentiality of both parties. The Director of Equal Employment Opportunity/Training is available to provide guidance and assistance in proper handling of any allegation. Individuals who report sexual harassment or present evidence in a sexual harassment investigation are protected from retaliatory personnel or academic action.

## **Wake Forest University School of Medicine Sexual Harassment Prevention Policy**

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### 1. Policy

Wake Forest University strives to maintain an educational and working environment free from sexual harassment. Sexual harassment by supervisors, co-workers, faculty or students will not be tolerated. Any sexual relationship between an employee (faculty or staff) and a student, whether consensual or not, will be regarded as a violation of this policy. Sexual harassment may result in disciplinary action which can include dismissal.

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### 3. Complaint Procedures

Any faculty member, employee or student who believes that he or she has been sexually harassed or has observed or been subject to a violation of this policy has a responsibility to bring the matter to the attention of an appropriate University Official, including the Vice President of Student Life, his or her Dean, the Provost, the Director of Equal Employment Opportunity and Training, his or her Department Chair or his or her supervisor. Complaints of sexual harassment will be treated seriously and will be promptly investigated with reasonable steps being taken to protect the confidentiality of both parties. The Director of Equal Employment Opportunity/Training is available to provide guidance and assistance in proper handling of any allegation. Individuals who report sexual harassment or present evidence in a sexual harassment investigation are protected from retaliatory personnel or academic action.

# Wake Forest University Substance Abuse Policy and Program

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## Introduction

The University recognizes the potential harmful effect that substance abuse can have on the lives of individual members within the Wake Forest community. To that end, the University has adopted a Substance Abuse Policy and Program which addresses the issues of identification, confidentiality, education and treatment and penalties for violation of the policy. The status of any student will not be jeopardized for conscientiously seeking early assistance in the recovery from substance abuse impairment. Students who are identified as possibly having a problem and who are referred to the health educator for assessment may be required to participate in an education and treatment program. To the extent possible, complete confidentiality will be maintained with students seeking assistance and treatment.

### a. Standards of Conduct

Wake Forest University is unequivocally opposed to alcohol and substance abuse and the unlawful possession, use or distribution of drugs by students on the University's property or as any part of the University's activities. Any illegal possession, distribution and use of alcohol and/or controlled substances are prohibited by the University.

### b. State and Federal Sanctions

Local, state, and federal laws provide specific penalties for drug and narcotics offenses. Article 5 of Chapter 90 of the North Carolina General Statutes makes it unlawful for any person to manufacture, sell, deliver, or possess with intent to manufacture, sell or deliver those drugs designated collectively as "controlled substances." The punishment includes a term of imprisonment as well as a substantial fine.

Federal law makes it unlawful for any person to manufacture, distribute, create, or dispense or to possess with the intent to manufacture, distribute, or dispense controlled substances. Title 21 of the United States Code provides terms of imprisonment and fines for violations of this Act. The nature of the offense and whether the person has committed any previous unlawful acts under this statute will determine the term of imprisonment as well as the amount of the fine. The penalties for violations of alcoholic beverage regulations are found in Chapter 188 of the North Carolina General Statutes. Such penalties include terms of imprisonment and heavy fines.

### c. Health Risks

Wake Forest University recognizes that the state of an individual's overall health affects academic performance, job performance, and all facets of a student's life. Alcohol and substance abuse rank as one of the major health and economic problems in this society. The use of such stimulants as cocaine, crack and ice include such health risks as central nervous system dysfunctions, convulsions, hypertension, heart irregularities, nasal destruction, and a potential for sudden death. A longer lasting paranoia and unpredictable violent behavior have been associated with the use of ice. Apathy, decreased visual perception, impaired psychomotor skills, and memory loss may be associated with the use of marijuana.

Alcohol is a sedative affecting the central nervous system. In addition to intestinal disorders and liver disease, the abuse of alcohol may lead to unpredictable behavior, the impairment of judgment, dangerous mob activities such as drinking games, and unwanted sexual behavior such as acquaintance rape. The misuse of alcohol has given rise to unwanted pregnancies and a greatly increased number of sexually-transmitted diseases.

d. Treatment and Rehabilitation Programs

The Substance Abuse Program revised in March of 1989 provides a protocol for counseling and treatment of a student identified as having a substance abuse problem. Consultation with a substance abuse counselor may be required following the report of an incident or the awareness of a problem involving drugs or alcohol abuse. The program sets forth the consequences of violating the treatment and rehabilitation plan.

The continued or repeated abuse of substances following initiation into this program will constitute grounds for further disciplinary action by the University.

e. University Sanctions

Disciplinary proceedings against a student will be initiated in accordance with the judicial procedures of the appropriate undergraduate or graduate school. When there is a reasonable basis for believing that the person has violated this policy or North Carolina law pertaining to controlled substances and the alleged conduct is deemed to harm the interests of the University, disciplinary actions will be instituted. It should be noted that though an offense may be the subject of legal action by the civil authorities, University officials are free to initiate disciplinary actions that may result in additional penalties.

f. Penalties

The penalties may range from written warnings with probationary status to expulsions from enrollment. The following minimum penalties will be imposed for the particular offenses described:

**Trafficking in Illegal Drugs.** The term "trafficking" is used in its generic sense, not in its specific application to selling, manufacturing, delivering, transporting, or possessing controlled substances in specified amounts that is the subject of North Carolina General Statute 90-95 (h).

For the illegal manufacture, sale or delivery, or possession with the intent to manufacture, sell or deliver, of any controlled substance identified in Schedule I, N.C. General Statutes 90-89, or Schedule II, N.C. General Statutes 90-90 (including, but not limited to heroin, mescaline, lysergic acid diethylamide, opium, cocaine, amphetamine, methaqualone), a student will be expelled.

For the first offense involving the illegal manufacture, sale or delivery, or possession with intent to manufacture, sell or deliver, of any controlled substance identified in Schedules III through VI, N.C. General Statutes 90-91 through 90-94, (including, but not limited to, marijuana, pentobarbital, codeine), the minimum penalty is suspension from enrollment or from employment for a period of at least one semester or its equivalent.

**Illegal Possession of Drugs.** For a first offense involving the illegal possession of any controlled substance identified in Schedule I or Schedule II, N.C. General Statutes 90-91, the minimum penalty is suspension.

For a first offense involving the illegal possession of any controlled substance identified in Schedules III through VI, N.C. General Statutes 90-91 through 90-94, the minimum penalty is suspension. A person returning from suspension will be on probation for at least one semester. A person on probation must agree to participate in a drug education, drug assessment, and/or counseling program at his/her own expense, consent to regular drug testing at his/her own expense, and accept such other conditions and restrictions, including a program of community service, as the vice president for student life and instructional resources deems appropriate.

Refusal or failure to abide by the terms of probation will result in suspension from enrollment or from employment for any unexpired balance of the prescribed period of probation.

For second or other subsequent offenses involving the illegal possession of controlled substances, progressively more severe penalties will be imposed, including expulsion of students.

When a student has been charged by the University with a violation of policies concerning illegal drugs, he or she may be suspended from enrollment before initiation or completion of regular disciplinary proceedings, where the student's continued presence within the University community would constitute a clear and immediate danger to the health or welfare of other members of the University community. If such a suspension is imposed, an appropriate hearing of the charges against the suspended person will be held as promptly as possible.

The vice president for student life and instructional resources will submit to the president of the University a report on campus activities related to illegal drugs for the preceding year. The president will forward this report to the Board of Trustees. The reports will include, as a minimum, the following: (1) a listing of the major education activities conducted during the year; (2) a report on any illegal drug-related incidents, including any sanctions imposed; (3) an assessment by the president of the effectiveness of the campus program and sanctions, and; (4) any proposed changes in the policy on illegal drugs.

The policy will be effective with the beginning of fall term, 1990.

## **Wake Forest University School of Medicine Substance Abuse Educational Program**

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### **Purpose**

The purpose of this educational program is to clearly and unequivocally state Wake Forest University School of Medicine's (The School) opposition to substance abuse and its prohibition of the abuse, unlawful possession, distribution, and use of illegal drugs and alcohol by students and employees; to ensure that students, faculty and staff are aware of the health risks associated with and the destructive and devastating impact of the use and abuse of drugs and alcohol (see Appendix I, pages 22-23); to clearly state the disciplinary sanctions that the University may impose on students and employees who violate the standards of conduct (see Appendix II, pages 24-26); to ensure that all University constituencies are aware of the applicable local, state and federal sanctions pertaining to the illegal possession, distribution and use of controlled substances and alcohol (see Appendix III, pages 27-29); to encourage early identification of substance abuse problems and to advocate self-referral by individuals for treatment and rehabilitation; and to comply with the provisions of the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act of 1989.

### **Education**

The School will annually distribute the Substance Abuse Policy and this Substance Abuse Education Program to students, faculty and staff. In compliance with the Drug Free Campus Act, this policy and the Education Programs will be reviewed every two years. In addition, educational programs will be available to increase awareness of the hazards of drug use, abuse and dependency. The Substance Abuse Policy will be discussed with new students and new employees during orientation and will be reinforced periodically throughout the course of the calendar year.

### **Health Risks**

The following is a summary of the various health risks associated with the use and abuse of some specific types of substances; it is not intended to be an exhaustive or final statement of all possible health consequences of substance abuse. A more extensive description on health risks related to abuse of controlled substances listed in Appendix I may be obtained from the Human Resources Department or Office of Student Affairs.

***Alcohol Use and Abuse.*** Alcohol is the most widely used and abused drug in the United States. Alcohol consumption has both acute and chronic effects on the body and causes a variety of changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate dosage of alcohol is associated with a variety of aggressive acts, including spouse and child abuse and dangerous risk-taking behavior. Moderate to high doses of alcohol may cause marked impairment of higher mental functions such as severely altering a person's ability to learn and remember information. Very high doses may cause respiratory depression and death. If combined with other depressant type drugs, much lower doses of alcohol can be fatal. Alcohol-related automobile accidents are the number one cause of death among people ages 15 through 24 and is involved in 50 percent of all fatal traffic accidents. Furthermore, approximately 50 percent of all deaths from drowning, fires, suicide and homicide are alcohol-related.

Repeated use of alcohol can lead to physical and psychological dependence. Alcohol dependent persons who suddenly stop drinking are likely to suffer withdrawal symptoms, including severe anxiety, tremors, hallucinations, confusion, convulsions and can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can lead to permanent damage to vital organs such as the brain, heart and liver. Women who drink alcohol during pregnancy may give birth to infants with serious birth defects including fetal alcohol syndrome. These infants may have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents have an increased risk of becoming alcoholic themselves.

## **APPENDIX II**

### **Substance Abuse Policy**

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#### **Scope**

This policy is not intended to affect The School's right to manage its workplace or discipline its students, faculty or staff nor does this policy guarantee employment or guarantee terms or conditions of employment. No contract for employment, either expressed or implied, is created. This policy may be modified from time to time as The School deems appropriate.

#### **Definitions**

The term "substance abuse" as used in this policy is defined as:

- reporting to work or working while affected by alcohol,
- being chemical dependent on alcohol or other drugs where job performance, participation in academic programs or safety of employees, students or patients may be adversely affected, or
- using illegal drugs.

The term "illegal drugs" as used in this policy includes, but is not limited to:

- marijuana, cocaine, heroin, opiates, amphetamines and similar drugs whose possession and use are prohibited under state and federal law,
- prescription drugs unless taken as validly prescribed by the employee's or student's physician, and
- "designer drugs," "look alike," synthetic drugs, and similar substances.

#### **Standards of Conduct**

Unless a standard of condition is specifically limited to a particular group, the standards apply to all faculty and staff. As a condition of employment or matriculation, each employee and student of The School is required to comply with the terms of this policy.

The sale, distribution, manufacture, possession or use of illegal drugs, or drug paraphernalia is prohibited.

All employees and students are prohibited from working while adversely affected by alcohol.

The possession or use of alcohol on any School property is prohibited unless its use is part of an authorized School activity. Distribution of alcohol to persons under the age of twenty-one and possession or use of alcohol by persons under the age of twenty-one on School property or as part of any School activity is prohibited.

All information concerning medical examinations, drug or alcohol testing results, or rehabilitation and treatment of an employee or student should be treated as confidential information subject to disclosure on a need-to-know basis.

The School reserves the right to require a drug or alcohol screening test from individuals whose job performance, behavior, or appearance reasonably suggests use of alcohol or illegal drugs substance abuse. Failure or refusal to comply with a substance abuse screening test may result in termination of employment.

In order to fulfill our obligations under the Drug Free Workplace Act, employees are required to notify the Human Resources Department in writing of any criminal drug statute conviction for a violation

occurring in the workplace no later than five days after such conviction. Faculty of The School must notify the Dean of any such convictions.

Employment (hiring) of staff and faculty is contingent on the successful completion of a drug screening test.

### **Disciplinary Sanctions**

The School will impose disciplinary sanctions on students, faculty and staff who violate the above standards of conduct.

Among the disciplinary sanctions which may be imposed on students are the following: reprimand, probation, restriction, suspension, expulsion and referral for prosecution. The School may require evaluation, counseling and successful completion of an appropriate rehabilitation program, if indicated.

Among the disciplinary sanctions which may be imposed on faculty and staff are: oral warning, written reprimand, disciplinary suspension, termination, and referral for prosecution. The School may require evaluation, counseling and successful completion of an appropriate rehabilitation program, if indicated.

### **Identification and Rehabilitation**

Early recognition of substance abuse is important for successful rehabilitation. The School encourages individuals with a chemical dependency problem to voluntarily seek assistance through the Medical Center's Employee Assistance Program (EAP). An individual's job will not be jeopardized solely because the individual voluntarily seeks assistance in the treatment and recovery from chemical dependency if the individual seeks treatment prior to any violation or disciplinary action. Any such requests and/or actions are strictly confidential. Eligibility to participate in any subsequent rehabilitation programs will be at the discretion of The School.

Any faculty member, student or staff, if given the option to participate in a rehabilitation program, will comply with the treatment and rehabilitation requirements set forth below or resign from his or her position with The School. Any such individual electing treatment and rehabilitation will:

- Satisfactorily participate in a substance abuse assistance or rehabilitation program approved for such purpose by a federal, state, or local health, law enforcement or other appropriate agency at the individual's expense. The School Employee's Medical Plan may provide coverage for certain counseling or rehabilitation services.
- Provide evidence satisfactory to The School of continued outpatient therapy in an approved program appropriate to the treatment recommendation.
- Remain substance free after completing a rehabilitation program for chemical dependency, and participate in random drug testing during rehabilitation, and for up to two years following completion of the rehabilitation program.

Failure to comply with these requirements may result in dismissal.

### **Counseling, Rehabilitation and Treatment Resources**

The School provides a comprehensive Employee Assistance Program (EAP) for faculty and staff. The School endorses and encourages the activities of the School's Health & Effectiveness Council in early identification, treatment and rehabilitation of School students with a substance abuse problem. Those who do not wish to take advantage of the resources offered at The School may wish to seek referrals to rehabilitation and treatment programs from their own physician, First Line Community resources, or the resources listed in the yellow pages of the phone book.