



Certificate Program in Financial Planning

Instructor Manual

For over fifty years SMU has been providing a diverse program of informal courses for adults. Today, more than ever, we need to keep abreast of the changing world in which we live. SMU Continuing Studies provides the Dallas community with continuing education opportunities that are timely and contemporary, as well as intellectually enriching.

Common Questions Continuing & Professional Education Instructors Ask...

1. "Who should I call if I have a question?"Page 5
2. "What's my enrollment?" or "Will this class make?"Page 13
3. "I need lots of media, like Power Point, a VCR, and laser-pointer.
How do I order this?"Page 7
4. "Can I contact my students?"Page 9
5. "Can my CV or bio be listed on the website?"Page 12
6. "What kind of publicity can my class have?"Page 11
7. "Where do I park?"Page 13
8. "Where is my class?"Page 12
9. "Can a student make up an exam?"Page 23
10. "When will I receive my honorarium?"Page 27
11. "I have an idea for a new course. What should I do?"Page 39

TABLE OF CONTENTS

ADMINISTRATION.....5

Continuing & Professional Education address

Important Phone Numbers

Holidays

PREPARATION FOR THE FIRST CLASS7

Instructor Packet

Audio-Visual Equipment/Computer Equipment

Check Class Information

Contracts

Course Supplies

Copy Reproduction

Marketing

CV/Bios

Assigned Classroom

Textbooks

Instructor Parking

Course Cancellation Policy

Non-Compete Policy

OPERATING POLICIES14

Business Codes of Conduct

Dress Code

Equal Employment Opportunity Affirmative Action Policy

Sexual Harassment Policy

Smoking

Serious Offenses

EMERGENCY AND SAFETY PROCEDURES18

Law Enforcement

ER locations

Emergency Phones

How to handle an emergency on campus

Smoke / Fire

Inclement Weather

Vehicle Problems

CLASSROOM PROCEDURES21

Absence of the Instructor or Schedule Changes

Classroom Arrival Time

Class Roll

Classroom Security

Classroom setup

Children

Confidentiality

Food and Beverages

Homework

Grades

Certificates, Transcripts, and Letter of Completion

Refunds

Use of Classroom Time

EVALUATIONS27

Instructor Evaluation and Class Summary

Student Evaluation

COMPENSATION27

Contract Agreements

W-9

Cancellation

Conditions for Compensation

Payment Schedule

Payment Issues

ADDITIONAL INFORMATION.....29

New Course Ideas

APPENDIX.....30

CPFP Instructor Evaluation Rubric

CPFP Instructor Pay Scale Chart

ADMINISTRATION

You are our link to our customer – the students. Therefore, we perceive our administrative duties to instructors as essential. Our main purpose is to ensure that courses of the highest caliber are offered. Our obligation is to select the best instructors and to give them the instructional resources necessary to make their course successful.

INSTRUCTOR RESOURCES

Please add the following names and email addresses into your personal address book so that future email communication from staff will not be viewed as SPAM.

CPFP OFFICE LOCATION	6404 N. Ownby Drive
Main Phone Number	214-768-2327
CPFP Email Address.....	cpfp@smu.edu
SMU Continuing & Professional Education Email Address	smuthink@smu.edu
Fax Number	214-768-1071

Tracey Dreighton, Assistant Director214-768-1021
tdreight@smu.edu

Amy Heitzman, Director.....214-768-1022
heitzman@smu.edu

Lindsey Lieberman, Assistant Registrar.....214-768-1023
lindseyl@smu.edu

Marsha Guckenhiemer, Student Records Coordinator.....214-768-3111
mgucken@smu.edu

Clark Randall, Program Director of External Affairs.....
clarkrandall@financialenlightenment.com

Tom Ricks, Program Director of Internal Affairs.....TomRicks@sbcglobal.net

WEBSITES

SMU Financial Planning Program.....cfp.smu.edu

SMU Continuing Studies.....informal.smu.edu

OFFICE HOURS

The office hours are as follows to ensure personnel availability to you before class.

Monday – Friday 9:00 am – 5:00 pm

OTHER IMPORTANT NUMBERS

Media Support.....214-768-8888

Security

Emergency.....911

NON Emergency.....214-768-3388

SMU Bookstore.....214-768-2435

Classroom Temperature Issues.....214-768-3266

HOLIDAYS**

Please refer to www.smu.edu/edu/hr/benefits/holidays.asp for current year holiday schedule.

***Continuing Education classes may occasionally be held on holidays due to class scheduling and demand. This will be confirmed in your contract.*

CPEP

CPEP courses are offered on a quarter-system:

Winter	January – March
Spring	April – June
Summer	July – September
Fall	September – December

Registration for each quarter opens approximately 6 weeks prior to the first class.

PREPARATION FOR THE FIRST CLASS

Instructor Packet:

You will receive an “Instructor’s packet” either at the instructor workshop or by mail approximately one month prior to each semester. The packet contains important information, so we recommend that you review each document carefully.

Audio Visual Equipment/Computer Equipment:

If your equipment needs change from semester to semester, and the information printed on your contract is not correct, contact the Assistant Director immediately. For many of our classrooms, media equipment must be brought in (it is not installed in the classroom) so it is imperative that you communicate your media needs to ensure that the equipment is ordered in a timely manner. Equipment requests must be submitted in writing to the Assistant Director staff two weeks in advance.

If requested equipment is not in your classroom at the proper time or you have difficulty using the equipment, contact Media (214-768-8888) on Main campus. In addition, please contact the Assistant Director the next day to ensure follow up and resolution of the issue for future classes.

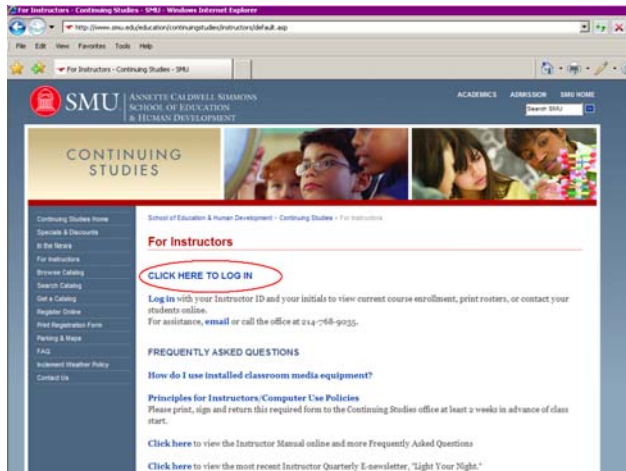
Contracts / Personnel / Tax Forms :

All contracts (SMU Continuing & Professional Education Teaching Agreements), personnel and tax forms must be signed and returned to the Director of Continuing & Professional Education at least *two weeks* prior to the beginning of the term. Without these forms, we cannot process payment. Please ensure that the name on your contract reflects the information on your W-9 form. For example, if you want your check to be paid to your company, be sure that your company name is listed on the contract and use your EIN on the W-9. A signed contract will be required for every course. You will be required to resubmit a signed W-9 each semester you teach.

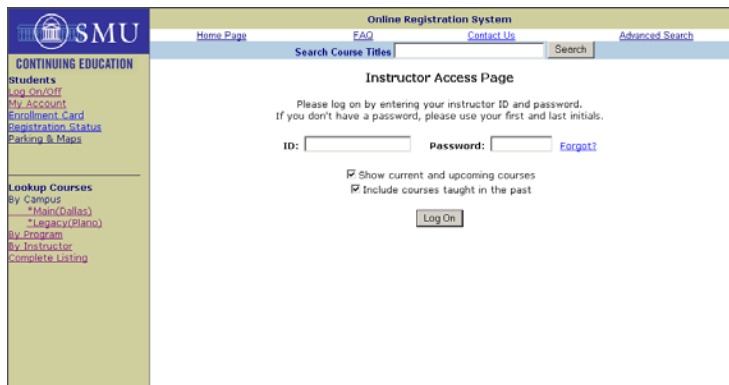
Checking Class Info:

Instructors may retrieve basic information about their courses, such as current class rosters, course enrollment status, and email addresses for your students via our website:

1. To access instructor login pages, go to <http://www.smu.edu/education/continuingstudies/instructors/default.asp>
2. Select "Click here to login"



3. To log in, use your 9-digit Instructor ID, found on your Teacher Schedule Sheet, and your password. If you do not have a password, use your first and last initials plus zip code. **You will need to create a password once you have logged in.** Please remember that Continuing & Professional Education staff members **do not** have access to your password. Should you ever forget your password, click the "Forgot?" link to have it emailed to you.



- You will then be taken to your course listings page:

The screenshot shows the 'Instructor Access Page' for the SMU Online Registration System. The page title is 'Instructor Access Page' and 'Current Courses'. Below the title, there is a table of courses with the following data:

Code	Course	Enrolled	Waiting	Limit	Begin	Ends	Meets
M072TEST1	Test Course	0	0	15			M, Tu, W from 11:00 PM to 12:00 AM, 5 Sessions
M071TEST	Test Course	0	0	10	09/27/2007	10/05/2007	Tu, Th, F from 11:00 PM to 12:00 AM, 5 Sessions
M043TEST	Test Course	1	0	15	03/05/2008	04/19/2008	Tu, W, Sa from 6:00 PM to 8:25 PM, 20 Sessions
M084CFEPINE2	CFEP Certificate Program Financial Planning INFO SESSION	46	0	70	03/18/2008	03/18/2008	Tuesday from 7:00 PM to 9:00 PM, 1 Session

Below the table, there are checkboxes for 'Show current and upcoming courses' and 'Include courses taught in the past', and a 'Refresh List' button. The instructor's name, 'Lindsay Lieberman', is listed at the bottom.

- By clicking a course code, you may view your class roster. From your Class Roster page, you are able to email your students by clicking "Email All Students":

The screenshot shows the 'Class Roster - N2' page for a 'TEST COURSE' on 09/30/2004. The page displays enrollment information and a list of students. A box highlights the 'Email All Students' button, and a line points to the 'Email' column in the student list.

Student Name	Email
Elmer Fudd	efudd@fudd.com
Bugs Bunny	bugs@bunny.com

Below the student list, there is a note: 'This feature is for your use in communicating course information to your students. Please use it judiciously.'

Course Material:

All course material (PowerPoint files, Overhead transparencies, handouts, etc) are to be submitted to the Assistant Director for inclusion to the Instructor Resource Center and become property of SMU Continuing Studies.

Each instructor is free to use any of the material located in the Instructor Resource Center to prepare for his/her class.

Use of Technology:

We will use technology, whenever possible, to leverage our information delivery. This will help to minimize expenses and maximize efficiency.

All handouts should be made available to your students via electronic media (emailed, stored on personal website, etc.). Do not send slides in PowerPoint.ppt or Word.doc format, but in Adobe.pdf format to help prevent competing programs from having access to our proprietary presentations. If you have questions about how to save a document in Adobe.pdf format, please contact the Program Director.

In order to develop and deliver consistency for all phases of our program, all PowerPoint material must be presented with the approved SMU CFP Design Template only. You can access the SMU CFP design template via web. If you need help updating your presentation with this design template, please contact the Program Director.

Course Outline and Welcome Letter:

Instructors are required to forward his/her course outline/syllabus to the Program Director of Internal Affairs 2 weeks prior to the start of the course. Upon approval from the Program Director, the Instructor will email approved information to the Assistant Director who will then email this information to the class. Future class emails will be the responsibility of the instructor.

First Class:

Instructor Login: This will be used to log into the SMU system. The user name and password are the same. You will receive a new Instructor Login each quarter.

Roster/Name Tents/Scantrons: A class roster, student name tents, and scantrons for the midterm and final, will be in your classroom on the first night of class.

New Student Orientation: A mandatory orientation session will be held on the first night of class for all new students enrolled in CFP101—Fundamentals of Financial Planning. Students will receive a handbook outlining university and program policies.

Copy Reproduction:

It is the policy of the University to abide by the provisions of federal copyright law, including "fair use." See generally 17 U.S.C. §101, et seq. and §107 specifically. Guidelines regarding copyright at SMU are available from Central University Libraries. The brochure entitled Questions and Answers on Copyright for the Campus Community from the Association of American Publishers is adopted by SMU.

Any concerns with and/or alleged violations of the Digital Millennium Copyright Act (17 USC §101 et seq. ed § 512 specifically) (online copyright infringement) should be reported to the Office of Legal Affairs.

Team Approach:

SMU CFPF could not exist without the commitment, help and valuable input of each instructor, SMU staff and the Program Director. It is critical that we all work together as a team so that we can prepare our students both to be the best financial planners possible, and to pass the CFP Board's Comprehensive Exam.

While it is critical to establish a good working relationship with your students, it is equally important to show them that we work together as one unified organization. We are a Team, and should be presented to your students as such – not as “they” or “them”, but as “we” and “us”.

Marketing:

The CFPF courses are noted in two printed catalogs, the Professional Courses brochure and the CFPF brochure. The Professional covers our vast array of business offerings and is sent to a target audience of about 30,000 each term. The CFPF brochure is targeted to about 5-8,000 professionals in financial or related fields each term. Continuing & Professional Education is always adding new marketing strategies; in addition to purchasing mailing lists, we market courses through billboards, e-cards, e-newsletters, theatre advertisement and flyers.

- Personal e-mails to friends and clients are encouraged.
- Marketing materials should not include the SMU logo or any affiliated logos unless the promotion is approved by the Director of Continuing Studies.

- Press releases and printed material must not contain the SMU logo; they must be issued by the Instructor, and contain his/her contact information.

- Press releases/print ads may list our registration number and/or Web address (214-768-2737, continuingstudies.smu.edu).
- Instructors may list themselves as “SMU Continuing & Professional Education Instructor,” “SMU Certificate Program in Financial Planning Instructor,” “SMU Graduate Test Preparation Instructor,” “SMU Certified Employee Benefits Specialist Instructor,” “SMU Professional Courses Instructor,” or “SMU Informal Courses for Adults Instructor.”

We will provide you with CFPF brochures that you may distribute however you wish. You may email your requests to cpfp@smu.edu . It takes one week to process these requests. *Please note:* Please inform the Assistant Director *prior* to sending out any published material to ensure all information is correct (i.e. course title, dates, time, etc). It is important that our office be aware of what you are publicizing so that our staff can respond to phone inquiries appropriately.

Failure to have materials approved in advance may result in dismissal from the program.

Any digital presentations, such as PowerPoint, should bear the SMU logo. For access to the SMU logo and additional templates, please follow the links on the instructor Web page.

http://www.smu.edu/continuing_education/continuing_studies/instructors.asp

Curriculum Vita(e) or Bios

Another great marketing tool is YOU! Students often inquire about an instructor, wanting to know his/her credentials or background. The more information we can share with our students the better. If you have a Curriculum Vita(e) or a bio, please email it to cpfp@smu.edu and it will be posted on our website with your course. We often pull information from Instructor’s bios for our marketing materials, such as our monthly e-newsletter.

Assigned Classroom:

Classrooms are listed on your Teacher Schedule Sheet and on your roster. Due to the incredible amount of construction currently taking place on campus or planned for the near future, classroom space is still limited. Classrooms are shared with all departments throughout campus as well as other programs and groups. We have done our best to accommodate your needs when assigning the classroom. If you have an urgent issue, please contact Assistant Director.

Texts:

If you are a new Instructor or teaching a course for the first time, you will receive a copy of all the textbooks and supplemental information supplied by the publisher approximately one month prior to your course. If you already have the textbook from a

previous quarter and there is not a new edition, you will use the textbook in your possession. If you would like to propose a new textbook, please contact the Assistant Director.

Parking:

You will receive a parking pass in your instructor packet. Parking on campus is allowed when two rules are followed. First, you must display your parking pass. Please follow the instructions on the pass, folding the paper as indicated, and placing this pass on your dashboard ensuring that the dates and times of your course are visible. The second, is to park in the approved locations. Please visit

http://www.smu.edu/continuing_education/informal/maps.asp to view the location most convenient and available to your classroom. Please note, there are several construction projects on campus that may temporarily impact parking. Please view <http://www.smu.edu/construction/> for the latest construction updates.

Instructors may use their Parking Pass in the following spaces, and with the following guidelines:

1. All University Parking lots (AUP)
2. Most Faculty/Staff (F/S) lots* AFTER 5 p.m. M-F, and Saturdays anytime
 - i. *Please Note: The first 2 levels of the Airline Garage are reserved for F/S at ALL times.
3. Commuter Lots (C)
4. Please do not park in the Visitor parking areas; these are reserved for patrons without this, or any other, parking permit.
5. Do not use metered parking.
6. Parking marked as RESERVED are not available at anytime
7. Handicapped parking is only available with valid DMV permits
8. Please observe all state traffic and parking regulations; i.e. avoiding Fire Lanes

Please adhere to all parking signage. SMU police do monitor parking areas and follow all TX traffic and parking laws. To dispute a ticket, contact Campus Police 214-768-PARK (7275), or visit <http://www.smu.edu/parknpony/Parking/Ticket%20Appeals.asp>

Course Cancellation Policy:

We do not like to cancel courses and we do everything possible to avoid it. However, classes with low enrollment may be canceled. The decision to cancel a class is not made lightly. The Director of Continuing & Professional Education will make this determination within 48 hours prior to the start date of the course. Registration for this course will remain open until this time. Once the decision to cancel the course has been

made, the instructor and registered students will be contacted by the Continuing & Professional Education office. Please note: only the Director of Continuing & Professional Education has the authority to cancel a course.

Non-Compete Policy:

Instructor fully understands the time and expense the SMU Continuing & Professional Education incurs to recruit and retain students within the Program and Instructor, therefore, agrees not to compete with SMU Continuing & Professional Education within a one hundred (100) mile radius for the duration of one (1) year, with exceptions made on a case-by-case basis by Director, Continuing & Professional Education. The parties agree that it would be difficult and impractical to calculate the damage sustained by SMU Continuing & Professional Education and its operations as a result of violation of this paragraph. Therefore, should Instructor violate this paragraph, Instructor agrees to pay twenty (20) percent of his/her expected first year's gross earnings or two thousand dollars (\$2,000.00), whichever is greater, and the reasonable costs and attorney's fees to collect those liquidated damages regardless of whether or not suit is filed.

OPERATING POLICIES

It is the policy of the University that its employees maintain acceptably high standards of conduct and appearances and that they are held accountable for these personal attributes.

Business Code of Conduct:

Instructors are prohibited from distributing business cards, selling products or providing personal business information to any students. Instructors are not allowed to attach business cards or business information to seminar materials. Any violation of this policy is cause for immediate termination.

It is your subject mastery that entitles you freedom in the presentation of subject material. Thus, it is improper for you to include material that has no relation to the subject matter of the course as announced to students and as approved by Continuing & Professional Education at SMU.

Since an instructor is a representative of the University on and off campus, it is your duty and responsibility to exercise appropriate restraint and be respectful of the opinions of others. Instructors should refrain from engaging in any negative discussions with students and staff, or making any negative remarks regarding Southern Methodist University and its operations, personnel, facilities, etc., in public. An instructor may speak out as a private citizen, but in doing so you should make it clear that you speak independently and not for Southern Methodist University.

SMU Code of Ethics:

Southern Methodist University creates and shares knowledge and prepares citizens for a global society. The University is entrusted with the freedom and opportunity to fulfill these purposes by a public that values our creativity and needs our leadership. Our vision of the future draws on the legacy of those whose learning, faith, and moral commitments shaped the institution we now share. Whatever our individual roles at SMU, we owe it to the public, to our common heritage, and to one another to uphold certain basic values. These include:

Pursuit of truth. We seek knowledge and understanding through open, energetic inquiry and creative freedom. We support one another with hard questions and sincere encouragement. Because we seek truth, we encourage free expression of ideas, accept challenges to our assumptions, and treat those whom we question as colleagues sharing a common purpose.

Integrity in work. In teaching and learning, research, administration, and all aspects of university life, we strive for the highest standards of excellence. We represent what we have done honestly, and we acknowledge the ideas, effort, and resources that others have contributed to our achievements.

Respect for persons. We honor the dedication of faculty, staff, and students to their work at SMU. We evaluate them and their work fairly. We seek diversity, which enhances our search for truth and enriches our experiences in learning, work, and life together. We extend hospitality to visitors, guests, and participants in programs at SMU. We maintain confidentiality and respect the privacy of others. We do not tolerate any form of discrimination, harassment, or intimidation, and we reject behavior that is degrading to ourselves or those around us.

Responsible use of resources. We direct funds and services to their intended purposes. We do not make personal use of University assets, nor do we permit misappropriation of those assets to go unchallenged. We use resources efficiently, conserving financial assets, physical resources, and the built and natural environment for future generations.

Accountability. We take personal responsibility for respecting these values. We keep accurate and complete reports of the work we have done and the funds we have handled. We disclose potential conflicts of interest and reject inappropriate influences on our choices. We endeavor to make decisions that meet public and professional standards of honesty, competence, and fairness.

To implement the principles in this Code of Ethics, SMU has developed policies, disciplinary procedures, and sanctions related to academic honesty, non-discrimination, use of University funds and resources, faculty, staff, and student conduct, and other aspects of our life and work together. Upholding the basic values we share includes knowing and following the applicable policies and incorporating the spirit of these

values, as well as the requirements of law and policy, into all of our decisions and actions as members of the University community.

Continuing & Professional Education Codes of Conduct:

Instructors are prohibited from distributing business cards, selling products or providing personal business information to any students. Instructors are not allowed to attach business cards or business information to seminar materials. Any violation of this policy is cause for immediate termination.

It is your subject mastery that entitles you freedom in the presentation of subject material. Thus, it is improper for you to include material that has no relation to the subject matter of the course as announced to students and as approved by Continuing & Professional Education.

Since an Instructor is a representative of the University on and off campus, it is your duty and responsibility to exercise appropriate restraint and be respectful of the opinions of others. Instructors should refrain from engaging in any negative discussions with students and staff, or making any negative remarks regarding Southern Methodist University and its operations, personnel, facilities, etc., in public. An Instructor may speak out as a private citizen, but in doing so you should make it clear that you speak independently and not for Southern Methodist University.

Dress Code:

Instructors are expected to dress and act professionally and appropriately to the role of instructor and mentor. It should be remembered that all employees are on display each day to students and visitors to the campus.

Equal Employment Opportunity Affirmative Action Policy:

SMU Continuing & Professional Education adheres to all University policies affirming equal opportunity to all students, employees, contractors and applicants for employment or admission.

Sexual Harassment Policy:

The University strives to provide an educational and working environment free of intimidation and harassment for its students, faculty and staff. Unprofessional treatment of students, faculty, staff and other colleagues, in any form and from any source related to the University, is unacceptable to the University and will be subject to section 2.5 [Sexual Harassment and Consensual Relationships](#) (rev. 11/14/05) Policy. The entire policy can be found in the University's Policy Manual, which is available online at smu.edu/policy.

Smoking:

The University is dedicated to providing a healthy, safe, comfortable and productive work, study and social environment for faculty, staff and students. This goal can be achieved only through ongoing efforts to protect nonsmokers and help employees and students adjust to restrictions on smoking. All areas in University buildings are smoke free.

The success of this policy depends upon the thoughtfulness, consideration and cooperation of smokers and nonsmokers. All members of the SMU community share responsibility for adhering to and enforcing the policy. Any conflict should be brought to the attention of the Director of Continuing Studies.

Serious Offenses:

Although there is a degree of discretion in deciding severity and sanctions, the following represent some, but not all, activities regarded as serious offenses that warrant immediate suspension or possibly dismissal.

1. Allowing the use of alcoholic beverages or narcotics in any way to interfere with the performance of one's work (for example: absenteeism occasioned by such use; coming to work under the influence and/or in possession of alcoholic beverages or narcotics; use of narcotics on University premises; and consumption of alcoholic beverages at any time in public areas on campus, including offices and classrooms). (See [Policy 9.32](#) and [Policy 9.33](#).)
2. Using profane or obscene language towards Continuing & Professional Education staff or any other SMU employee, fellow Instructors or students.
3. Threatening another person with physical violence or inflicting physical violence upon another.
4. Deliberate damage to or theft of property.
5. Submitting false information or knowingly making false certification.
6. Possession or use of firearms, explosives, fireworks or incendiary devices on University property.
7. Misuse of computing/telecommunications facilities and resources.

EMERGENCY AND SAFETY PROCEDURES

All of us in higher education share the grief of the Virginia Tech family and send our heartfelt condolences to all those touched by this tragedy. In view of this tragedy, SMU is providing the campus community with some general information related to emergency procedures. We are constantly monitoring and updating our procedures as we continue to learn from each other in the higher education community and from the security and law enforcement professions.

- The campus police department is on duty 24-7, and senior command-level officers are experienced former military officers with emergency training. All officers are licensed and certified by the State of Texas and have full police authority.
- SMU also works closely with surrounding local and regional police and fire departments, including University Park, Highland Park, Dallas County, City of Dallas, Texas Department of Public Safety, and various federal agencies.
- SMU has conducted training and has procedures for active shooter scenarios, among others.
- SMU has created a new position of Director of Emergency Preparedness and Business Continuity Planning, dedicated to preparing SMU for emergencies and the recovery from them, while maintaining campus operations. The new director is a seasoned professional from a similar office for Dallas County.
- The University maintains a fully equipped Emergency Operations Center with trained staff members who routinely participate in drills with local, state and federal agencies. Its data base supporting emergency operations includes occupant listings for all buildings.
 - To aid surveillance, SMU has a closed-circuit TV system.
 - Communication technology used in case of emergency would be website, bulk e-mail and voicemail to communicate en masse to the campus community. A hot line is maintained at 214-768-4636 (SMU-INFO) to provide current information on emergencies. SMU also has designated call centers that would be activated to answer parent and community questions and to provide immediate alerts and instructions to the campus community if needed.
 - Each building has a designated manager who is trained in emergency procedures to be shared with building occupants.
 - Regular building evacuation drills are conducted to ensure familiarity with procedures.

- SMU has designated triage and quarantine facilities under its Emergency Operations Plan. SMU has conducted large casualty training involving multiple
- To augment security measures, SMU personnel educate students on safety precautions such as keeping doors locked in residence halls and being aware of their surroundings. Training includes discussions in residences, posting of campus alerts, publications and web resources.

Campus Resources:

Police Department	214-768-3333
Counseling	214-768-2211
Psychiatric Services	214-768-2860
Office of the Chaplain	214-768-4502

Police Emergencies/Accidents/Medical Assistance:

Contact SMU Police by dialing 214-768-3333 (dial 8-3333 from any campus phone).

1. State your name, phone number, location and nature of emergency.
2. Have someone wait outside the area to watch for authorities.
3. Remain calm until authorities arrive—do not do anything that would antagonize the situation.
4. Police will arrive to administer first aid and transport victim to an appropriate medical facility, if deemed necessary. They will also complete a police report.
5. If victim is mobile, they may proceed to their own physician.

Please contact the Assistant Director the next day to inform him/her of the incident. Additional paperwork may be required, including the completion of a police report.

Law enforcement is managed by the SMU Police Department, City of University Park Police Department and, if necessary, the Dallas County Sheriff’s Office and the Texas Department of Public Safety. Dispatching services are provided by the SMU Police Department.

The nearest hospital Emergency Room is provided by Presbyterian Hospital located four miles away. The Memorial Health Center, located on campus, provides limited outpatient services including a pharmacy for the University student body.

Emergency Kiosks (stands with blue lights) are located throughout the campus and on every garage level. To activate the intercom, push the red button and you will be connected directly with SMU police dispatch. To communicate with the dispatch, talk directly into the box.

Please note: if you use a cell phone to dial 911 you will not automatically be connected to SMU dispatch. (Depending on what cell tower is used, you could be connected to the City of University Park Police or Dallas Police.) Inform the 911 operator that you are on an SMU campus.

Smoke/Fire:

The University has the support of the City of University Park Fire Department for fire and emergency medical service. The fire station is located on University Blvd. approximately one mile west of the campus.

If the fire alarm sounds, immediately evacuate the building. The fire alarm system is connected to the main campus police office. They will send an officer to the facility and call the city fire department. After evacuating, use the red emergency phone outside the building to confirm that campus police have received the alarm.

Do not re-enter the building until instructed by campus police or the fire department.

If you notice a fire or smell smoke and the alarm is not sounding, pull the fire alarm signal located in various areas throughout the building to manually sound the alarm thereby notifying everyone in the building. Evacuate immediately.

Inclement Weather:

Classes may be cancelled or postponed due to inclement weather. Any time credit courses are cancelled (i.e., the university is “closed”), Continuing & Professional Education courses are also cancelled. When in doubt, listen to local radio/TV announcements, check the SMU Web site www.smu.edu or the University’s Inclement Weather Web page <http://www.smu.edu/newsinfo/weather.asp>

The Continuing & Professional Education Office will notify Instructors and students via e-mail and phone should courses be cancelled. Instructors will be consulted regarding rescheduling makeup classes when possible.

Vehicle Problems:

Contact SMU Police at 214-768-3333 to report vehicle owner's name and location of vehicle.

Emergency Information Form:

All Instructors must have a current Instructor Emergency Information Form on file; forms are found in semester contract packets, or by contacting the Assistant Director.

CLASSROOM PROCEDURES

Absence of the Instructor / Schedule Changes:

If you must be late or are unable to attend a class, please notify the Program Director of Internal Affairs and Assistant Director. These changes must be made as early as possible in order to notify students and make necessary arrangements. Any instructor replacement/substitute must be qualified in the subject area and approved by the Program Director of Internal Affairs before they may teach a CFPF course. Instructors are not allowed to subcontract CFPF courses.

Class Roll:

At the first class meeting, please verify the correct name spelling and email address for every participant. If corrections are necessary, please notify Assistant Director. Since attendance is a requirement of the CFP-Board, accurate class rolls are required. Students are allowed two absences, or a total of six hours. After the second absence, the student does not receive credit for the course and must retake the course over, paying another registration fee. This is non-negotiable.

You may wish to contact your student if (s)he is close to two absences. This is an example of an email:

This is a cautionary e-mail. You have missed the last three classes. I have not received any communication from you concerning these absences. SMU requires 75% attendance. If you miss another class, you will be unable to satisfy the attendance requirement.

If you have decided to drop the class, please let me know.

Section SWAP to make up class time

Students may request to attend a different section of same course to ensure meeting CFP Board class contact requirements. Students must contact the office to make formal

request. This is an option, not a guarantee. Course enrollment, course assignment, instructor, and assistant director must approve all requests.

Classroom Arrival Time:

Instructors are required to arrive on time to class. Due to limited classroom space on campus, many classrooms are used up to the time of the next class. It is not always possible to gain access to your classroom prior to your scheduled start time. We suggest you visit <http://www.smu.edu/maps/campus> prior to the first day of your class to familiarize yourself with the building and parking.

Classroom Security:

Please do not leave any personal belongings in classrooms.

Classroom Set-Ups:

The normal set-up for a class is ‘classroom style’ (tables and chairs facing the front of the room). We will do our best to accommodate your needs based on room availability. If instructors rearrange a room, they are expected to return the room to the original set-up before they leave.

Children:

The CPFPP curriculum is for adult students; students must be 18 years of age. Neither students nor instructors are allowed to bring a child to class for any reason. This policy has been established for many reasons:

- No matter how well behaved a child may be, their presence is a distraction to other students. This distraction lowers the quality of education in the classroom.
- It is not fair to other students who have invested their time and money to find childcare so they can attend class.
- The presence of children may inhibit discussion of adult topics appropriate to a class.

If a student shows up for a class with a child, politely explain that children are not allowed to attend class with parents. Students with questions or concerns should contact Assistant Director. There are no exceptions to this policy.

Confidentiality:

All Instructors are expected to treat students with respect and honor any need for confidentiality. All proprietary information of the student/client being served should be held in the strictest confidence. Any indicator of threat to self or others must be brought to the attention of the Program Director(s) and Assistant Director for appropriate action.

Food and Beverages:

Food and beverages are available at Hughes Trigg Center and the vending machines located in designated buildings. Food and beverages are prohibited in the computer labs, but are allowed in classroom..

Exams:

Mid Term Exams and Final Exams must be approved by the Program Director of Internal Affairs at least one week prior to distribution to the class. It is not necessary to submit periodic quizzes or class projects.

Exam results must be presented for approval to the Program Director of Internal Affairs as soon as possible after they have been tabulated and prior to delivering them to class.

All grades must be awarded on a non-discriminatory basis. Curves for both the Mid Term and Final Exam as well as the Final Course grade must be approved by the Program Director of Internal Affairs.

Make up Exams:

- In order to maintain the integrity of the exam content and ensure that all students have an equal opportunity, exam make-ups will only be given three days prior to the next class in which the exams are returned to students.
- Advance notice to the instructor of the legitimate reason for missing an exam will ensure a make-up exam is ready and available for the student. A legitimate reason is limited to personal or family illness, emergency or death. Not being prepared is not considered a legitimate reason to miss an exam.
- Students should make every effort to take the exam when scheduled. If it becomes necessary for a student to take a proctored make up exam outside of class, (s)he should contact the Assistant Director at least 24 hours in advance to schedule a time during business hours (9 am – 5 pm).

Scantrons:

Scantrons will be delivered on the first night of class. Students must use a #2 pencil, write his/her name on the scantron, and fill in the corresponding bubbled letter. Instructors must complete a scantron with the answers and write ANSWER KEY along the top. Scantrons can be delivered to the SMU Office of Continuing Studies.

It takes approximately 48 hours to process the scantrons. The Assistant Director will fax/email the scores to the Instructor and mail the originals.

Grades:

Each class should consist of the following elements:

Element	Notes	Minimum % Weight	Maximum % Weight
Periodic quizzes	Required	20	35
Project/Presentation	<i>Select at Least One</i>		
Mid Term Exam*	Required	20	35
Final Exam*	Required	20	35
Discretionary+	Optional	0	10
Exam Bonus Points^	Optional	0	5
Course Bonus Points^	Optional	0	5

* *The Final Exam should not count less than the Mid Term Exam.*

+ *Discretionary points should be limited to any combination of the following items: student participation, attitude, effort and attendance.*

^ *Bonus points should be awarded for prescribed additional activity that is made available to every student on the same basis.*

The grading policy must be included on the course syllabus and approved by the Program Director prior to presentation to the class. Once the grading policy has been presented to the class, it cannot be changed.

Students receive a grade certificate for each course. The CPF P grading system is A, B, C or F. (no + or -). A student must receive a C or better to receive credit for the course.

Course grades must be approved by the Program Director within one week of the course completion. They must be presented on the SMU CPF P Grade Form (see attachment). Once the grades have been approved, the Program Director will forward them to be entered onto the official student transcript.

Grades:

Students receive a grade certificate at the completion of each course. Students may use this form to submit for company reimbursement.

Students will receive a grade report at the end each course. If a student has a question about his/her transcript, please contact the Assistant Director.

Cancelation/Withdrawal:

Notification of any intent to withdraw from the course must be submitted to the Assistant Director in writing via e-mail, fax, or mail. Failure to withdraw will result in forfeiture of course fee. Students may withdraw from a course 3 business days before the first scheduled class session. A \$25 handling fee will be withheld from tuition; the balance will be refunded. Should SMU cancel a course, full tuition will be refunded. No refunds are permitted after a course begins. Students may transfer to an upcoming course in lieu of withdrawing up to a week following the mid-term exam; a transfer fee of \$150 will be assessed to cover administrative costs. This amount supersedes the \$25 withdrawal fee. Need for cancellation must be submitted in writing to cpfp@smu.edu. Students may use the transfer option up to 3 times during their time in the SMU Program.

Transfer:

Students can transfer up to three courses into the SMU program. All courses must be completed prior to SMU course begin date.

TO APPLY FOR A COURSE TRANSFER FROM ANOTHER CFP BOARD-REGISTERED PROGRAM

Complete the Application for Course Transfer & Professional Credential Exemption. List the courses you are applying to transfer on the first page of the form. Then, using the course number, indicate courses on the checklist that correspond to a specific content area. One course may cover several content areas.

Attach a detailed course description from the program or the course syllabus if the description does not clearly identify course content.

Attach your transcript with an equivalent grade of “B”, 80%, 3.0, or better to the application form (photocopies are acceptable). If the course only provides Pass or Fail, it must be noted on the transcript and you will be required to pass (grade of $\geq 70\%$) a Subject Mastery Exam prior to transfer approval.

PLEASE NOTE both the transcript and course description or syllabus must accompany the application or the application will be deemed incomplete and will not be reviewed. Transcript must show completion date within three calendar years of CPFP course start date.

Mail the signed application and completed checklist, transcript and other supporting documentation:

SMU School of Education and Human Development
ATTN: CFPF Course Transfer Request
P.O. Box 750275
Dallas, TX 75275-0275

You may also fax your request to:

(214) 768-1071
ATTN: CFPF Course Transfer Request

TO APPLY FOR A COURSE EXEMPTION BY PROFESSIONAL CREDENTIALS

Complete the Application for Course Transfer & Professional Credential Exemption

List the following credentials for which you are applying for exemption on the first page of the form.

FP102 – Insurance and Risk Management - CLU or ChFC AND CPCU
FP103 – Investments - CFA®
FP104 – Retirement Planning and Employee Benefits - CEBS
FP105 – Tax Planning - CPA
FP106 – Estate Planning - JD (Specializing in Estate Planning)

Attach proof of the Professional Credential from the credentialing agency (photocopies are acceptable).

Mail the signed application and supporting documentation
SMU School of Education and Human Development
ATTN: CFPF Professional Exemption Request
P.O. Box 750275
Dallas, TX 75275-0275

You may also fax your request to:

(214) 768-1071
ATTN: CFPF Professional Exemption Request

Upon adequate certification of your professional credential(s), you must pass (grade of $\geq 70\%$) a Subject Mastery Exam prior to transfer approval.

Use of Classroom Time:

Please have a full class presentation for all sessions. Students have paid for a specified number of contact hours. Contact the Assistant Director or Program Director regarding any schedule changes.

EVALUATIONS

The evaluation process is imperative for continuous improvement for our program and it is connected to instructor pay. At the end of each semester, an email, with the link to an evaluation form, is distributed to all registered students. The evaluation forms are available on our website at anytime. Students may return them via email, fax or mail. Students may request a hard copy by emailing cpfp@smu.edu.

Evaluations are reviewed by staff and copies are mailed to instructors. Copies of evaluations are kept on file. The Program Director may contact you to discuss issues if needed. Again, we consider evaluations to be a very useful tool to make our courses and instructors the best they can be.

COMPENSATION

Please see the CFPF Instructor Evaluation Rubric and CFPF Instructor Pay Scale Chart for more information regarding compensation.

Contract Agreements:

All Instructors who teach for Continuing & Professional Education receive a contract that outlines honorarium, the dates and time of the course, a space to list media needs as well as any additional information necessary for teaching the course. Please review the information printed on the contract. Your check will be made out to the name on the contract and for the amount listed. If any of this information is not correct or you have questions regarding any part of your contract, contact Assistant Director Tracey Dreighton at 214-768-1021. This will eliminate delays in receiving your payment.

Percentage-based and per-student honoraria are calculated one week and one day following the start date of the course.

Please return the signed contract agreement to our office by the “return date” indicated on attachment. Classes cannot be taught without a signed contract on file.

Checks are processed at the completion of the course. Instructors may expect to receive their honorarium via U.S. Mail 4-6 weeks after a course has ended. All mail is processed through the SMU Postal Service. If contracts and/or W-9 forms are not received by the “return date,” payment may be delayed

On occasion, a change in the contract agreement may be necessary. When such a change takes place, a new contract will be sent to you for your signature. Please return this contract as soon as possible to ensure the amended parameters are processed correctly.

W-9:

A signed W-9 is required every semester. If you are teaching more than one course in the same semester, only one W-9 is required. Payment cannot be processed without this completed form. The name on your contract must reflect the information on your W-9 form. For example, if you want your check to be paid to your company (i.e., Yoga for Life), ensure that your company name is listed on the contract (i.e., Yoga for Life and not your name) and use your EIN on the W-9. If you have any questions regarding your W-9, please contact Tracey Dreighton at 214-768-1021.

Conditions for Compensation:

All instructors will be paid upon *completion* of the course. For classes that require Instructor expenditures, all receipts must be submitted to your coordinator before payment can be processed.

Full-Time SMU Employees:

Full-time SMU Employees teaching for Continuing & Professional Education will be paid in the next regular payroll cycle that occurs after the last day of the course. For specific information, please contact Payroll at 8-3311.

Problems with Payment:

If you have a problem with your payment or to check on the status, please contact Tracey Dreighton at 214-768-1021.

ADDITIONAL INFORMATION

New Course Ideas

If you'd like to propose a course idea, you must complete a course proposal form.

These forms are on our website

http://www.smu.edu/continuing_education/informal/instructor_home.asp?print=true .

Submit form and/or resume by fax or mail as listed on the form. Proposals are accepted year round for Continuing & Professional Education courses.

- Due to the volume of proposals received, only accepted proposals will result in contact from Continuing & Professional Education staff, however, you may contact the office at 214-768-9035 to check on the status of your proposal.
- All proposals will be considered for the next available semester

Appendix

CPFP Instructor Evaluation Rubric.....	p.33
CPFP Instructor Pay Scale Chart.....	p.34

CPFP Instructor Evaluation Rubric

1	Content	Evaluations/Participation	Organization	Presentation
4	<ul style="list-style-type: none"> ▪ Is well thought out and supports the solution to the challenge or question ▪ Reflects application of critical thinking ▪ Has clear goal that is related to the topic ▪ Is pulled from a variety of sources ▪ Is accurate 	<ul style="list-style-type: none"> ▪ Attended all Workshops ▪ Attended all graduations ▪ Attended all information sessions ▪ Based on evaluations students would recommend the instructor to other students ▪ Worked with administration to troubleshoot program issues. 	<ul style="list-style-type: none"> ▪ Information is clearly focused in an organized and thoughtful manner. ▪ Information is constructed in a logical pattern to support the solution. 	<ul style="list-style-type: none"> ▪ Multimedia is used to clarify and illustrate the main points. ▪ Format enhances the content. ▪ Presentation captures audience attention. ▪ Presentation is organized and well laid out.
3	<ul style="list-style-type: none"> ▪ Is well thought out and supports the solution ▪ Has application of critical thinking that is apparent ▪ Has clear goal that is related to the topic ▪ Is pulled from several sources ▪ Is accurate 	<ul style="list-style-type: none"> ▪ Attended 3 Workshops ▪ Attended a graduation ▪ Attended an information session ▪ Based on evaluations students would recommend the instructor to other students ▪ Worked with administration to troubleshoot program issues. 	<ul style="list-style-type: none"> ▪ Information supports the solution to the challenge or question. 	<ul style="list-style-type: none"> ▪ Multimedia is used to illustrate the main points. ▪ Format is appropriate for the content. ▪ Presentation captures audience attention. ▪ Presentation is well organized.
2	<ul style="list-style-type: none"> ▪ Supports the solution ▪ Has application of critical thinking that is apparent ▪ Has no clear goal ▪ Is pulled from a limited number of sources ▪ Has some factual errors or inconsistencies 	<ul style="list-style-type: none"> ▪ Attended 2 Workshops ▪ Attended a graduation OR ▪ Attended an information sessions ▪ Based on evaluations students would recommend the instructor to other students ▪ Worked with administration to troubleshoot program issues. 	<ul style="list-style-type: none"> ▪ Project has a focus but might stray from it at times. ▪ Information appears to have a pattern, but the pattern is not consistently carried out in the project. ▪ Information loosely supports the solution. 	<ul style="list-style-type: none"> ▪ Multimedia loosely illustrates the main points. ▪ Format does not suit the content. ▪ Presentation does not capture audience attention. ▪ Presentation is loosely organized.
1	<ul style="list-style-type: none"> ▪ Provides inconsistent information for solution ▪ Has no apparent application of critical thinking ▪ Has no clear goal ▪ Is pulled from few sources ▪ Has significant factual errors, misconceptions, or misinterpretations 	<ul style="list-style-type: none"> ▪ Attended 1 Workshop (teaching term) ▪ Attended a graduation ▪ Attended an information sessions ▪ Based on evaluations students would recommend the instructor to other students ▪ Worked with administration to troubleshoot program issues. 	<ul style="list-style-type: none"> ▪ Content is unfocused and haphazard. ▪ Information does not support the solution to the challenge or question. ▪ Information has no apparent pattern. 	<ul style="list-style-type: none"> ▪ Presentation appears sloppy and/or unfinished. ▪ Multimedia is overused or underused. ▪ Format does not enhance content. ▪ Presentation has no clear organization.

2007-08 SMU CFPF INSTRUCTOR PAY SCALE CHART

PAY LEVEL	1	2	3	4
Wage	\$2000.00	\$2200.00	\$2300.00	\$2400.00

The 2007-08 SMU CFPF Instructor Pay Scale Chart should be utilized as a **guideline** for establishing pay rates.

PAY LEVEL 1:

First time SMU CFPF instructor committed to one term. Can increase to pay level 2 after teaching two successful terms with favorable evaluations.

PAY LEVEL 2:

Two successful teaching terms completed. Favorable evaluations and developed a professional demeanor between students and administration

PAY LEVEL 3:

Upon third year on staff and favorable evaluations, an instructor can move to this level. Must demonstrate good judgment and independent decision making.

PAY LEVEL 4:

Upon fourth year on staff and favorable evaluations, an instructor can move to this level. Must demonstrate good judgment and independent decision making.

IMPORTANT NOTE

When establishing the pay rate for a specific instructor, please do not merely evaluate the instructors' number of terms, but also note the instructor's qualifications, i.e. taught in previous programs.