

## **Fondren Collection Development Library Assignment**

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## I. Introduction

### A. Background Information

Fondren Library was the first library building on the Dallas campus for Southern Methodist University (SMU, 2016). The library was created to support the students, faculty and staff of SMU.

### B. Statement of Purpose

This collection policy supports the collection management at Fondren Library, a part of SMU Libraries. It defines the parameters for what is purchased, managed, and decommissioned from the physical collections held at Fondren.

### C. Mission and Vision Statements

The mission statement taken from the SMU Libraries Strategic Plan reflects the relatively new iteration of SMU Libraries, created in 2018, which represents all seven libraries on campus in Dallas (see more in the Organization section below). The vision statement reflects the previous iteration of Central University Libraries, which consisted of Fondren Library, DeGolyer Library, Hamon Arts Library, and two libraries on SMU campuses in Plano and Taos (CUL, n.d.); before SMU Libraries was created as an entity in 2018, various libraries on campus worked as individual entities rather than parts of a whole. These are both posted online to broadcast the values of SMU Libraries to the community at large.

#### **Mission of SMU Libraries**

SMU Libraries' multidisciplinary expertise, personalized services, and distinctive

collections advance discovery, catalyze innovation, expand connections with campus and community partners, and directly impact the success of SMU's academic, research, and creative aspirations. (SMU Libraries, 2019)

### **Vision of SMU Libraries**

As the primary information resource for the SMU community, and commonly referred to as 'the heart of the University,' the Central University Libraries plays a central role in supporting the University's aspiration to be a leading research institution and a dynamic, engaged, learning environment. CUL will be committed to the use of transformative processes and tools in support of this vision, and will be an active participant in the digital revolution. As information needs change and grow, CUL will seek to play a leadership role in the intellectual life of the SMU community. (SMU Libraries, n.d.p)

### **D. Organization**

SMU Libraries is a part of Southern Methodist University in Dallas; as such, many of its values and policies are derived from its parent organization. Fondren Library is known as the "main" or "central" library, as all other libraries on campus are specialized in some way. The Fondren building also houses DeGolyer Library, which is the university's archives and special collections, and Technical Services, but these operate independently of the primary staff at Fondren Library (SMU Libraries, 2018; SMU Libraries, 2021a; SMU Libraries, 2021b).

Several other libraries on campus support specific colleges and programs, like the Business Library, Bridwell Library (associated with the Perkins School of Theology), the

Underwood Law Library, and the Hamon Arts Library (for the Meadows School of the Arts). There is also a library on a separate campus in Taos, New Mexico. Fondren Library supports the remainder of the colleges at the Dallas campus: "the Dedman College of Humanities and Sciences, the Lyle School of Engineering, and the Simmons School of Education and Human Development," (SMU Libraries, n.d.b, 4th bullet).

## **II. Community Profile**

### **A. Service Area**

The building for Fondren Library is at the center of the campus in Dallas, Texas, just next door to the Hughes-Trigg Student Center. The library serves the population of Southern Methodist University students, faculty and staff, whether they are on the campus in Dallas, the satellite campus in Taos, or around the world.

### **B. Community Members**

Fondren Library was primarily created to serve the students, faculty and staff at Southern Methodist University. The collection focuses on resources to support the study of the humanities and sciences, engineering and computer science, and education and human development (SMU Libraries, n.d.b). As with any academic library, its secondary users are scholars and researchers around the world, including those close to the campus in Dallas.

According to the census data collected in 2010, Dallas is the third largest city in the state of Texas (List of Municipalities in Texas, 2021). More diverse than the state at



large, the city's population demographics are still similar to the states', with groups of white and Hispanic/Latino residents representing the largest percentages of the population (U.S. Census Bureau, 2019a; U.S. Census Bureau, 2019b). Dallas has a higher percentage of Black people than the state at large, but a smaller population of Asians, and both the state and city have even smaller groups of multiracial people and other categories.

With more than half of the students coming from the state of Texas, it's not surprising that the demographics of Southern Methodist University mirror those of the state of Texas (SMU, 2020g). Minorities make up 31% of the students at SMU, with those of Hispanic or Latinx descent the most common minority in both undergraduate and graduate groups (SMU, 2020d). Groups of Blacks/African Americans and Asians are smaller but still significant, at 6.9% and 7.5%, respectively, with other ethnic groups reflecting the state's small populations. In addition, 9% of the students are international, with noteworthy groups from China and India (SMU, 2020f).

The faculty at SMU is even less diverse than the student population, with less than 20% of the faculty identifying as a minority ethnicity (SMU, 2020b). This makes it difficult for non-white students on campus to see themselves reflected in their teachers. This is also true for women on campus. While the gender split on campus for SMU students is fairly even, there are fewer women faculty than men, particularly in tenured positions (SMU, n.d.; SMU, 2020c). See Appendix A on page 34 for the full tables of statistics on demographics of the populations in the city of Dallas and the state of Texas, as well as the student and faculty populations at SMU.

### **C. Community Partners**

As part of SMU Libraries, Fondren Library primarily works with the other libraries on campus to serve the SMU community. In addition, librarians at Fondren work with the Writing Center to staff a Research and Writing Lab primarily for undergraduate students, as well as faculty and instructors across campus to develop lessons on information literacy and research. Fondren librarians and staffers have also worked with people at the Meadows Museum, an art museum on campus, to develop art projects and programs for students during finals week and throughout the year. Fondren Library has a pantry for any SMU community member (students, faculty and staff) that is food insecure. And Fondren is also home to the Friends of the SMU Libraries, an organization founded in 1970 to raise money for and support the activities of all SMU Libraries (Friends of the SMU Libraries, n.d.).

Fondren librarians have been building relationships off campus as well. They have presented information literacy skills and talked about library needs with students and teachers at both Highland Park Independent School District and Dallas Independent School District in recent years (personal communication, J. McMichael, May 2021).

While they have not yet created ties to the local public libraries, there are three separate systems that are potential partners. Highland Park Public Library and University Park Public Library are both within the Park Cities area of Dallas, where the SMU campus is situated. And Dallas Public Library, with many branches throughout the city of Dallas, would be an excellent way to build relationships throughout the city.

Should the staff at Fondren Library want to work with fellow academic librarians, the University of Texas at Dallas and the University of North Texas at Dallas both have

campuses within 20 miles of the SMU campus, and the University of Texas Arlington is less than an hour's drive away as well. Downtown Dallas is also home to several cultural centers with whom Fondren Library could work to build community: the Dallas Museum of Art and Nasher Sculpture Center may be better partners to the Hamon Arts Library, but the Perot Museum of Nature and Science, the Dallas Holocaust and Human Rights Museum, and the Sixth Floor Museum at Dealey Plaza (focusing on John F. Kennedy's death in Texas, as well as his legacy) all relate to the subjects supported by Fondren. Last but not least, the George W. Bush Presidential Library lives on the SMU campus; the library already has a relationship with the SMU community, and it would be an excellent partner to promote information literacy and presidential history.

#### **D. Trends**

When one considers the concerns about how the pandemic would affect enrollment at Southern Methodist University (and anywhere else), it is encouraging to know that enrollment for Fall 2020 – several months after the pandemic began – continued the slow but steady upward trend seen at SMU in the previous four years (SMU, 2020e). Ratios of undergraduate to graduate students have remained fairly constant, with undergraduates at about 55% of the student population and graduate students at 45%, with a variance of 1 to 2% for any given year from 2016 to 2020. Enrollment numbers for the various colleges on campus, seen in the same report, have also remained relatively consistent, with only two schools showing significant changes. The Lyle School of Engineering has seen a slight decrease in total enrollment, from 15% to 11% of the population, with decreases in both undergraduate and graduate populations. This has been countered by growth in the Cox School of Business, which has grown from

17% to 22% of all students on campus, also reflecting increases in both undergraduate and graduate populations.

Enrollment of minority students has increased at a rate slightly ahead of the enrollment growth for all students: Minorities were 26.7% of the undergraduate population for Fall 2016 as compared to 29.7% for Fall 2020 (SMU, 2020d). The growth is even more striking in graduate programs, seen in the same report, where minorities were 25.1% of the population in Fall 2016 as compared to 33.5% in Fall 2020. Numbers show growth in the Asian and Hispanic/Latinx populations, as well as slight increases for those who self-report as two or more racial groups, in both the undergraduate and graduate groups, and the graduate numbers also reflect higher enrollment numbers for Black students as well.

Most tenured professors are white men, but lower ranks show that change may be coming. The one tenure or tenure track category where women have grown to outnumber men is that of Assistant Professor, so there may be concerted efforts to hire more women to grow into full professor positions with tenure (SMU, 2020c). A recent news story suggests the pipeline of tenure track professors is more diverse by ethnicity as well (Huang & Olivares, 2021). It will take time for such changes to come to fruition, both because of the time it takes for such professors to reach tenure, as mentioned by Dr. Dixon Hall in the article, as well as the fact that growth of American minority professors on campus is small, increasing from 145 in 2016 to 149 in 2020 (SMU, 2020b). See Appendix B on page 43 for complete statistics on these trends over the last five years: enrollment growth, overall and for minorities, as well as trends for faculty by gender and ethnicity.

### III. Funding

#### A. Sources of Funding

There are two key ways that Fondren Library gets its funds (S. Sanabria, personal communication, June 11, 2021). The bulk of the money distributed to the library for collections, referred to by Technical Services as the General Account, is distributed by the university Provost from monies received via tuition, grants and private gifts. This distribution covers SMU Libraries as a whole. The monies received in the General Account fund primarily electronic resources that are used for all libraries and the Southern Methodist University community at large, including databases, journals, DVDs and streaming media, and e-books.

The libraries also receive a smaller amount of money via endowments pledged to the library (S. Sanabria, personal communication, June 11, 2021). The Endowment account also supports most SMU Libraries, with the exception of Bridwell Library, funded through an endowment; DeGolyer Library, funded through gifts; and the Underwood Law Library, which has stricter requirements for collections and its funding. Because the interest received through these endowments is not as consistent year-to-year as the money received in the General Account, this money is used primarily for books and physical resources.

#### B. Budget

For the latest fiscal year, the General Account budgeted \$5.2 million for purchasing and maintaining resources available through all SMU Libraries (Sanabria, 2021b). More than 90% of that money was for electronic journals and databases. The rest was allocated

for print journals, electronic books purchased on-demand, media, and other miscellaneous costs.

The spending of Endowment funds is focused primarily on print resources; 96% of the monies used from these funds in the last fiscal year went toward book purchases (Sanabria, 2021b). These funds are used for collections not only at Fondren Library, but also Hamon Arts Library, the Business Library, and the library on the SMU satellite campus in Taos, New Mexico (S. Sanabria, personal communication, June 11, 2021). The Endowment funds reflect 25 different donors to the university, some of whom have placed limits on how the money can be spent. For example, the class of 1937 donated money to purchase modern novels. Other donors have stipulated that their funds be used to purchase resources on Texas history or Greco-Roman culture. However, most purchases are directed by subject librarians and Technical Services, who do their best to work with faculty to support current research on campus. See Appendix C on page 53 for the tables showing the spending budgets for the General Account and Endowments in the 2021 fiscal year, which ended on May 31, 2021.

### **C. Budget History**

The budgets for SMU Libraries have been steadily increasing over the last five years (Sanabria, 2021a). The base expected increase per year is 3%, but the libraries often have requests approved for higher increases when costs have gone up in excess of that amount (S. Sanabria, personal communication, June 11, 2021). The primary cause for such increases (for example, increases of 16% and 15% in 2018 and 2019, respectively) has been the steadily increasing cost of electronic resources (Sanabria,

2021a; S. Sanabria, personal communication, June 11, 2021). See Appendix C on page 55 for the table showing the increases in fiscal year budgets over the last five years.

#### **IV. Assessment Activities**

##### **A. Informal Assessments**

Informal assessment is gathered through several contact forms and spaces on the SMU Libraries website. A page asks for feedback on library services and the website (SMU Libraries, n.d.i). Faculty can request the purchase of resources through a purchase request form (SMU Libraries, n.d.k). And students, faculty and staff are encouraged to use the libraries' Ask Us service for research assistance, asking questions about library services, and more (SMU Libraries, n.d.a).

##### **B. Formal Assessments**

The Access Services department collects statistical data on gate counts and monitors usage reports for circulation of both physical and electronic resources, as well as interlibrary loan (SMU Libraries, 2020). And the Information Literacy department tracks attendance in classes and workshops, as well as the number of reference transactions (including those through Ask Us) and reference consultations.

SMU subject librarians work with departmental faculty and the SMU Libraries Technical Services department to do academic program reviews every seven years, assessing the quality of resources available for that particular program and comparing holdings and subscriptions for SMU Libraries to aspirational institutions (S. Sanabria, personal

communication, June 23, 2021). Large formal assessments are done every ten years as part of the university's accreditation by the Southern Association of Colleges and Schools, most recently completed in 2011 (SMU Libraries, n.d.). In addition, SMU Libraries has conducted two overarching assessments specific to the libraries in recent years. At the beginning of 2019, under a newly created Dean of SMU Libraries, an internal committee developed a five-year strategic plan for SMU Libraries (SMU Libraries, 2019), gathering extensive data from the SMU community. And as the strategic plan was being finalized in the fall of 2019, another large-scale assessment began at Fondren Library, evaluating the possibility of creating a research hub with, and improved office space for, the Office of Information Technology (OIT).

## **V. Collections**

### **A. Overview**

Fondren Library has 280,000 square feet of space and more than 3 million volumes (Two SMU libraries get big gifts for renovations, 2013). While there are several reading areas throughout the complex, as well as offices for staff librarians, Fondren Library currently uses 54% of its space for collections, more than double the 10-20% of space used for physical collections at competitive libraries (brightspot, 2020, p. 30).

Regrettably, one of the oldest sections of books is on the first floor of Fondren Library, a Dewey section that was never updated to the Library of Congress organization used throughout the remainder of the building, aside from one room of Dewey literature elsewhere. This means that if students come into the building and head to the Blue side



of the building (the northern section of the library), they must walk past these dusty (and sometimes tattered) books on their way to study spaces on the upper levels. Overall, however, most of the other shelving areas are tidy and well-spaced, with room on each shelf for reshelving and additions to the collection, and books that are in good condition.

While the most degrees awarded at Southern Methodist University in 2020 were from the Cox School of Business, supported by the Business Library, several of the programs supported by Fondren Library have significant amounts of students (SMU, 2020a).

Degrees awarded by the Dedman College of Humanities and Sciences made up more than 20% of those awarded in 2020, and there are considerable groups graduating from the Lyle School of Engineering and the Simmons School of Education and Human Development as well. With hundreds of students in these programs each year, they need the latest resources to learn and succeed in their programs. See Appendix D on page 56 for the full breakdown of degrees awarded by programs at Southern Methodist University in 2020.

## **B. Formats Collected**

Fondren Library collects books, journals, electronic resources, text and data sets, and media (SMU Libraries, n.d.h). The administration prefers electronic journals over print when available. Subject librarians work with faculty to purchase streaming media when available; the only media format held at Fondren is audio CDs for learning languages.

## **C. Collection Arrangement**

The collection at Fondren Library is organized by Library of Congress call numbers, with the exception of two smaller sections that are still organized by the Dewey Decimal

System. The complex is divided into three sections, labeled Red, Blue and Grey (after the official colors of SMU). One can access all three sections only from the first floor.

The main floor for Fondren Library Red has a large student learning commons, two classrooms and several study rooms, and subject librarian offices; the rest of the building has several levels devoted to books (SMU Libraries, n.d.f; SMU Libraries, n.d.g). The basement has bound periodicals and books with call numbers A-B. Call numbers C-D are on level 4, call numbers E-L are on level 2, and all literature call numbers are on level 3 – call numbers beginning with P, and one room housing older books with Dewey numbers in the 800s.

Walking into Fondren Library Blue from the lobby, one sees the previously mentioned Dewey section (with books 0-699 and in the 900s), government documents, and study tables and rooms (SMU Libraries, n.d.d). On a mezzanine above, there is more study space and the latest newspapers and periodicals. And on the second floor, users will find the remainder of the Library of Congress call numbers, Q-Z, plus the offices for the interlibrary loan staff. (Fondren Library doesn't hold any books from call numbers M-N as they are at the fine arts library, Hamon.) The basement and third floor are restricted to library staff only; the basement has oversized books and bound science periodicals, and the third floor is librarian offices and meeting rooms for the Technical Services staff, housed in Fondren but operating as part of a separate hierarchy from the subject librarians elsewhere in the building (SMU Libraries, 2021b).

Fondren Library Grey is the oldest part of the building, and the one with the most different uses. The first floor is home to another open area for students to gather, anchored by a Starbucks and OIT, the Office of Information Technology (SMU Libraries,

n.d.c). The second floor has a large reading room with some reference materials on the walls, and a meeting room often used for alumni events. And the third floor is home to DeGolyer Library, for special collections and university archives. Unlike the rest of the libraries on campus, DeGolyer is open to the public by appointment only, although it does have an exhibit space. See Appendix E on page 57 for maps of these areas.

#### **D. Items Excluded**

Fondren Library does not purchase "textbooks, workbooks, or consumable print materials," (SMU Libraries, n.d.h). Journals and other serials are only purchased in one format – for example, if SMU Libraries purchases an electronic subscription, it is not purchased in print. And media items on VHS and DVD were recently moved from Fondren to the Hamon Arts Library, which has taken over the purchase requests for physical and streaming media resources.

#### **E. Collection Strengths**

Fondren Library has robust collections for political science, the humanities, education and psychology, and STEM subjects, including computer science and engineering. And while the advanced search function for the online catalog doesn't allow searching by all languages represented in the collections, Fondren has print and electronic resources in various languages from around the world, which might be helpful for international students.

#### **F. Collection Weaknesses**

The largest challenge faced by Fondren Library, as with many other academic libraries, is the cost of electronic journals, which prohibits subscriptions to everything that

students and faculty might use. One of the most common requests through chat reference is for an article or publication that a user cannot access online. While interlibrary loan completes requests for these resources quickly, students and faculty get frustrated when the library does not have direct access to a publication they need.

## **VI. Collection Development**

### **A. Primary Responsibility**

Given the large collections at Fondren Library, the responsibilities for purchasing are distributed throughout two teams: the subject librarians and Technical Services (SMU Libraries, 2021a; SMU Libraries, 2021b). Subject librarians are responsible for selection of most resources, working in tandem with the faculty for their particular subjects. Technical Services staff oversees the purchasing and processing of these materials.

### **B. Resources Used**

There are multiple ways that books are purchased (S. Sanabria, personal communication, June 11, 2021). Most books are purchased via profiles made with vendors for pre-approval. This profile is created by a committee consisting of a representative from Technical Services, relevant subject librarians and faculty members, and anyone else with a vested interest in that subject. A much smaller portion are selected by the subject librarians individually or in conjunction with faculty and graduate students. And some e-books are purchased on demand; listings of available books are in the library catalog online, and books are purchased when a patron opens the listing.

### **C. Location**

Collection development occurs on-site on the third floor of Fondren Library Blue in the Technical Services department. A team of 15 librarians and one accountant processes resources for addition to the collections: four librarians for purchasing, three librarians for physical processing, and five for cataloging and metadata, as well as two other team members that analyze the collections as a whole – in Fondren Library and across the other libraries on campus – and manage electronic resources (SMU Libraries, 2021b).

### **D. Criteria for Inclusion**

Criteria for inclusion at Fondren Library is found in the Purpose section of the library's general collection development policy; most materials must be of a "scholarly nature;" the remainder of the collection must "have an important social or historical significance... [and fiction must] have literary merit," (SMU Libraries, n.d.h, Purpose). See Appendix F on page 66 for the full policy.

Criteria for particular subjects are found within the documents specific to each subject area; the Subject Collection Development Policies page for Fondren links to 27 different subject areas supported through Fondren Library, excluding the areas specific to Hamon Arts Library (SMU Libraries, n.d.n).

## **VII. Library Services**

### **A. Basic Services**

Fondren Library has a large student commons on the first floor of the Red side that

includes roughly 30-40 computers where students can work on assignments (SMU Libraries, n.d.m). There are also two large classrooms with around 25 computers each, a GIS workshop, and several study rooms. Adjacent to the commons is a Print/Copy/Scan area with printers and scanners; other printers that also function as scanners can also be found near the front desk in the lobby and the OIT desk. Computers can be found throughout the building, but the largest collection is in the learning commons; WiFi is also available for students to log onto and guests to use while in the building.

Fondren checks out a variety of electronic chargers, laptops and devices to patrons. The Access Services teams at Fondren and elsewhere on campus began offering curbside pickup after the buildings reopened on a limited basis in June 2020; the service continues to be offered after all restrictions were lifted for building access.

## **B. Programming**

Fondren Library offers a range of workshops for students and faculty at Southern Methodist University (SMU Libraries, n.d.q). Topics covered include basic research and citation skills, copyright guidance, and how to publish; other offerings in the past have helped students register to vote and be an informed voter, learn life skills, and prepare for job interviews.

## **C. User Education**

The librarians at Fondren Library work with SMU faculty to create a variety of instructional content for classes (SMU Libraries, n.d.o). While this content may be

tailored to the research assignments for the classes, information literacy is the backbone of any instruction. Librarians often do one-shot and multi-session drop-in instruction for faculty. They also create modules that can be incorporated into Canvas for students to complete at their leisure. And most librarians at Fondren build research guides tailored to their respective subject areas and courses.

### **VIII. Government Sponsored Investigations**

At Fondren Library, a staffer approached with a search warrant or subpoena would notify the Library Director, who would alert the SMU Office of Legal Affairs to take action. These steps would align with the guidelines published in the University Policy Manual, which has an entire section devoted to the Service of Subpoenas and Agency Requests for Information (SMU, 2019a); see Appendix G on page 77 for the full policy.

### **IX. Policies on Censorship, Patron Privacy, Etc.**

#### **A. Patron Privacy**

The privacy policy, included in the Policies list for Fondren Library (SMU Libraries, n.d.j), is sparse but it does cover patron rights. As a part of Southern Methodist University, the library policy falls underneath that of the university at large.

Unsurprisingly, the SMU Information Security policy (SMU, 2019c) is much more in depth. See Appendices H and I on pages 81 and 87, respectively, for copies of both policies.

## **B. Statement on Censorship**

SMU Libraries cites intellectual freedom as a core value on its website, but Fondren Library does not explicitly mention intellectual freedom or censorship on its policy page (SMU Libraries, n.d.p; SMU Libraries, n.d.j); Fondren policies can be seen in Appendix H on page 81. The libraries' value correlates to the university standing on academic freedom; the University Policy Manual has a section on the Standards of Professional Ethics for Faculty and Academic Freedom (2019b); see Appendix J on page 100 for the full policy.

## **C. Record Retention**

Neither the privacy policy for Fondren Library nor the Information Security section of the University Policy Manual refer to what types of records are kept by the libraries or university. However, both pledge to keep Personally Identifiable Information secure and protected, and the Information Security policy points to a proprietary process for the removal of secure information from university hardware and servers (SMU Libraries, n.d.j; SMU, 2019c). The head of Technical Services at SMU Libraries also stated that Fondren Library and SMU Libraries have no specific parameters for how long patron records are retained (personal communication, S. Sanabria, July 30, 2021).

## **D. Request for Reconsideration of Materials**

Neither Fondren Library nor SMU Libraries have a way to file a Request for Reconsideration of Materials. The author has created a form based on her knowledge of the policies and procedures at Fondren Library, as well as the sample posted by the



American Library Association on their website (ALA Office for Intellectual Freedom, 2018); the form is included in Appendix K on page 103.

## **X. Existing Policies**

### **A. Existing Policies**

Fondren Library has a General Collection Development Policy, as well as subject-specific Collection Development Policies for 27 different subject areas. Fondren also has a Borrowing Policy and Loan Period Policies specific to the type of patron, as well as a list of Public Service Policies, as seen in Appendix H on page 81.

### **B. How to Access Current Policies**

Policies are listed on the website for accessibility by both patrons and staff. The web page for the Fondren General Collection Development Policy points to the subject-specific policies. The Fondren page for the Borrowing Policy links to the patron-specific Loan Period Policies. The About pages for Fondren Library and SMU Libraries link to the Public Service Policies and the Borrowing Policy, respectively.

### **C. Schedule for Review**

Collection development policies are reviewed as needed when curriculum and program changes necessitate such review (SMU Libraries, n.d.h; personal communication, S. Sanabria, July 30, 2021). Otherwise, the policies are scheduled to be reviewed during the academic program reviews held every seven years, as described above in Formal Assessments.

## XI. Works Cited/Works Consulted

### A. Works Cited

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## XII. Appendices

### Appendix A: Detailed Demographics

#### *The State of Texas and the City of Dallas*

##### Race and Hispanic origin for the state of Texas.

	Percentage of Total Population
White alone, not Hispanic or Latino	41.2%
Hispanic or Latino	39.7%
Black or African American	12.9%
Asian	5.2%
Two or More Races	2.1%
American Indian/Alaskan Native	1.0%
Native Hawaiian/Other Pacific Islander	0.1%

Source: U.S. Census Bureau. (2019b). *Quick facts: Texas*.

<https://www.census.gov/quickfacts/TX>

**Population data for the five largest cities in Texas.**

	Population from the 2010 Census
Houston	2,099,451
San Antonio	1,327,407
Dallas	1,197,816
Austin	790,390
Fort Worth	741,206

Source: List of municipalities in Texas. (2021). In *Wikipedia*.

[https://en.wikipedia.org/wiki/List\\_of\\_municipalities\\_in\\_Texas](https://en.wikipedia.org/wiki/List_of_municipalities_in_Texas)

**Race and Hispanic origin for the city of Dallas.**

	Percentage of Total Population
Hispanic or Latino	41.8%
White alone, not Hispanic or Latino	29.0%
Black or African American	24.3%
Asian	3.4%

Two or More Races	2.4%
American Indian/Alaskan Native	0.3%
Native Hawaiian and Other Pacific Islander	0.0%

Source: U.S. Census Bureau. (2019a). *Quick facts: Dallas city, Texas*.

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All statistics below for Southern Methodist University are for the academic year beginning in Fall 2020 except the degrees awarded, which are for 2020.

### ***Student Demographics***

#### **Enrollment figures.**

	Enrollment Figures
Undergraduate Students	6,827 (51% male, 49% female)
Graduate Students	5,546 (52% male, 48% female)
<i>Total Enrolled Students</i>	<i>12,373</i>

Source: Southern Methodist University. (n.d.). *Campus profile*.

<https://www.smu.edu/AboutSMU/Facts/CampusProfile>

**Diversity on campus: Figures for minority enrollment.**

	Undergraduate	Graduate	Total	Percentage of Total Enrollment
American Indian/ Alaskan Native	16	8	24	0.2%
Asian	549	380	929	7.5%
Black/African American	540	315	855	6.9%
Hispanic/Latinx	859	759	1,618	13.1%
Native Hawaiian/ Other Pacific Islander	2	7	9	0.07%
Two or More Races	289	163	452	3.7%
<i>Total Minority Students (U.S. Residents)</i>	<i>2,255</i>	<i>1,632</i>	<i>3,887</i>	<i>31.4%</i>

Source: Southern Methodist University. (2020d). *Student headcount by gender and ethnicity*. [https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Student\\_headcount\\_by\\_gender\\_and\\_ethnicity\\_2020-21.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Student_headcount_by_gender_and_ethnicity_2020-21.pdf?la=en)

**Diversity on campus: Figures for international enrollment.**

	Undergraduate	Graduate	Total	Percentage of Total Enrollment
Brazil	8	10	18	0.1%

Canada	12	14	26	0.2%
China	204	288	492	4.0%
India	6	115	121	1.0%
Korea, Republic of	9	19	28	0.2%
Mexico	26	39	65	0.5%
All Other Countries	127	240	367	3.0%
<i>Total International Students</i>	<i>392</i>	<i>725</i>	<i>1,117</i>	<i>9.0%</i>

Source: Southern Methodist University. (2020f). *Students by country of origin*.

[https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Students by Country of Origin 2020-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Students%20by%20Country%20of%20Origin%2020-2021.pdf?la=en)

**Diversity on campus: Figures for enrollment of U.S. residents by state.**

	Undergraduate	Graduate	Total	Percentage of Total Enrollment
California	858	163	1,021	8.3%
Florida	264	70	334	2.7%
Georgia	155	37	192	1.6%

Illinois	194	51	245	2.0%
Louisiana	91	55	146	1.2%
New York	155	46	201	1.6%
Tennessee	114	38	152	1.2%
Texas	2,932	3,652	6,584	53.2%
All Other States	1,672	709	2,381	19.2%
<i>Total Enrollment of U.S. Residents</i>	<i>6,435</i>	<i>4,821</i>	<i>11,256</i>	<i>91.0%</i>

Source: Southern Methodist University. (2020g). *Students by state of origin*.

<https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/>

[Students by State of Origin 2020-21.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Students%20by%20State%20of%20Origin%202020-21.pdf?la=en)

**Faculty Demographics****Instructional faculty by rank and gender.**

	Female*	Male*	Total	Percentage of Total Faculty
Full Professor (Tenured or Tenure Track)	48 (22%)	169 (78%)	217	28.3%
Associate Professor (Tenured or Tenure Track)	54 (34%)	104 (66%)	158	20.6%
Assistant Professor (Tenured or Tenure Track)	61 (55%)	50 (45%)	111	14.5%
Instructor (Non-Tenure Track)	4 (24%)	13 (76%)	17	2.2%
Senior Lecturer (Non-Tenure Track)	43 (63%)	25 (37%)	68	8.9%
Lecturer (Non-Tenure Track)	48 (64%)	27 (36%)	75	9.8%
xxx-in-Residence (i.e., Artist-in-Residence)	3 (43%)	4 (57%)	7	0.9%
Clinical/Technical (Non-Tenure-Track)	43 (61%)	27 (39%)	70	9.1%
Professor of Practice (Non-Tenure-Track)	14 (32%)	30 (68%)	44	5.7%
<i>Total Faculty</i>	<i>318 (41%)</i>	<i>449 (59%)</i>	<i>767</i>	

\*Percentages below figures represent how many of each gender are represented in each category. For example, 22% of full professors are women, and 78% are men.



Source: Southern Methodist University. (2020c). *Instructional faculty by tenure status, rank and gender*. [https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/](https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/Ten_Rank_Gen_2020-2021.pdf?la=en)

[Ten\\_Rank\\_Gen\\_2020-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/Ten_Rank_Gen_2020-2021.pdf?la=en)

**Instructional faculty by ethnicity and gender.**

	Female*	Male*	Total	Percentage of Total Faculty
Asian	21 (6.6%)	51 (11.4%)	72	9.4%
Black/African American	18 (5.7%)	13 (2.9%)	31	4.0%
Hispanic (of any Race)	20 (6.3%)	21 (4.7%)	41	5.3%
Two or More Races	2 (0.6%)	3 (0.7%)	5	0.7%
<i>Total Minority Faculty</i>	<i>61</i> <i>(19.1%)</i>	<i>88</i> <i>(19.6%)</i>	<i>149</i>	<i>19.4%</i>

\*For 2020, no faculty members self-identified as Native Hawaiian/Other Pacific Islander or American Indian/Alaska Native. Percentages below statistics represent percentage of gender of ethnicity and percentage of total minority faculty. For example, 6.6% of women faculty members are Asian, and 9.4% of all faculty members are Asian.

Source: Southern Methodist University. (2020b). *Instructional faculty by ethnicity and gender*. [https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/](https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/Eth_Gen_2020-2021.pdf?la=en)

[Eth\\_Gen\\_2020-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/Eth_Gen_2020-2021.pdf?la=en)

**Appendix B: Enrollment & Faculty Trends at SMU Between 2016-2020*****Total Enrollment at Southern Methodist University for Fall Semesters, 2016-2020***

	2020	2019	2018	2017	2016
Undergraduate	6,827 (55%)	6,710 (57%)	6,479 (56%)	6,452 (55%)	6,521 (56%)
Graduate	5,546 (45%)	5,114 (43%)	5,170 (44%)	5,337 (45%)	5,218 (44%)
Total	12,373	11,824	11,649	11,789	11,739

\*Percentages below figures represent how many of type of student are enrolled for that particular term. For example, in 2020, 55% of students enrolled for Fall 2020 were undergraduate students, and 45% were enrolled in a graduate program.

Source: Southern Methodist University. (2020e). *Student headcount comparison (fall semesters)*. [https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Headcounts\\_Comparison\\_2020-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Headcounts_Comparison_2020-2021.pdf?la=en)

***Enrollment at Southern Methodist University for Fall Semesters, 2016-2020 by School or College***

In the below tables, percentages by total figures represent the ratio of students enrolled in the specific college or school for the fall term of that enrollment year as compared to enrollment across the university. For example, in Fall 2020, 22% of students enrolled for Fall 2020 at SMU were enrolled in a program through the Cox School of Business.

All statistics in this section are from the following report:

Source: Southern Methodist University. (2020e). *Student headcount comparison (fall semesters)*. [https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Headcounts\\_Comparison\\_2020-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Headcounts_Comparison_2020-2021.pdf?la=en)

### **Cox School of Business.**

	2020	2019	2018	2017	2016
Undergraduate	1,305	1,223	1,170	1,176	1,127
Graduate	1,364	984	936	932	880
Total	2,669 (22%)	2,207 (19%)	2,106 (18%)	2,108 (19%)	2,007 (17%)

### **Dedman College of Humanities and Sciences.**

	2020	2019	2018	2017	2016
Undergraduate	1,224	1,239	1,191	1,196	1,223
Graduate	427	406	399	404	408
Total	1,651 (13%)	1,645 (14%)	1,590 (14%)	1,600 (14%)	1,631 (14%)

**Dedman School of Law.**

	2020	2019	2018	2017	2016
Graduate	765 (6%)	769 (7%)	775 (7%)	809 (7%)	804 (7%)

**Lyle School of Engineering.**

	2020	2019	2018	2017	2016
Undergraduate	481	521	515	635	640
Graduate	934	959	1,043	1,131	1,114
Total	1,415 (11%)	1,480 (13%)	1,558 (13%)	1,766 (15%)	1,754 (15%)

**Meadows School of the Arts.**

	2020	2019	2018	2017	2016
Undergraduate	646	602	609	621	633
Graduate	215	235	225	237	231
Total	861 (7%)	837 (7%)	834 (7%)	858 (7%)	864 (7%)

**Perkins School of Theology.**

	2020	2019	2018	2017	2016
Graduate	318 (3%)	278 (2%)	261 (2%)	254 (2%)	283 (2%)

**Simmons School of Education and Human Development.**

	2020	2019	2018	2017	2016
Undergraduate	185	167	157	149	159
Graduate	1,190	1,092	1,110	1,139	1,147
Total	1,375 (11%)	1,259 (11%)	1,267 (11%)	1,288 (11%)	1,306 (11%)

**Unaffiliated and undeclared students.**

	2020	2019	2018	2017	2016
Undergraduate	2,986	2,958	2,837	2,675	2,744
Graduate	214	284	319	325	242
Total	3,200 (26%)	3,242 (27%)	3,156 (27%)	3,000 (25%)	2,986 (25%)

***Enrollment at Southern Methodist University for Fall Semesters, 2016-2020,  
Reflecting Minority Students' Race and/or Ethnicity***

In this section, percentages by figures represent the ratio of enrolled students of that particular race or ethnicity for the fall term of that enrollment year as compared to total enrollment across the university. For example, in Fall 2020, 8% of students enrolled for Fall 2020 at SMU self-identified as Asian; 31.4% of students for that term self-identified as one of the below races and/or ethnicities.

**All students.**

	2020	2019	2018	2017	2016
American Indian/ Alaska Native	24 (0.2%)	25 (0.2%)	33 (0.3%)	29 (0.2%)	35 (0.3%)
Asian	549 (8.0%)	473 (7.0%)	445 (6.9%)	399 (6.2%)	424 (6.5%)
Black/African American	855 (6.9%)	727 (6.1%)	725 (6.2%)	691 (5.9%)	722 (6.2%)
Hispanic/Latinx	1,618 (13.1%)	1,453 (12.3%)	1,356 (11.6%)	1,295 (11.0%)	1,231 (10.5%)
Native Hawaiian/ Other Pacific Islander	9 (0.1%)	9 (0.1%)	13 (0.1%)	11 (0.1%)	7 (0.1%)
Two or More Races	452 (3.7%)	417 (3.5%)	397 (3.4%)	362 (3.1%)	335 2.9%
Total	3,887 (31.4%)	3,455 (29.2%)	3,319 (28.5%)	3,143 (26.7%)	3,052 (26.0%)

Southern Methodist University. (2020d). *Student headcount by gender and ethnicity.*

<https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/>

[Student\\_headcount\\_by\\_gender\\_and\\_ethnicity\\_2020-21.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Student_headcount_by_gender_and_ethnicity_2020-21.pdf?la=en)

***Enrollment at Southern Methodist University for Fall Semesters, 2016-2020, by Students' Race and/or Ethnicity & Level of Enrollment***

All statistics in this section are from the following report:

Southern Methodist University. (2020d). *Student headcount by gender and ethnicity.*

<https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/>

[Student\\_headcount\\_by\\_gender\\_and\\_ethnicity\\_2020-21.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Student_headcount_by_gender_and_ethnicity_2020-21.pdf?la=en)

**American Indian/Alaska Native.**

	2020	2019	2018	2017	2016
Undergraduate	16 (0.2%)	12 (0.2%)	17 (0.3%)	19 (0.3%)	20 (0.3%)
Graduate	8 (0.1%)	13 (0.3%)	16 (0.3%)	8 (0.1%)	15 (0.3%)
Total	24 (0.2%)	25 (0.2%)	33 (0.3%)	29 (0.2%)	35 (0.3%)

**Asian.**

	2020	2019	2018	2017	2016
Undergraduate	549 (8.0%)	473 (7.0%)	445 (6.9%)	399 (6.2%)	424 (6.5%)
Graduate	380 (6.9%)	351 (6.9%)	350 (6.8%)	356 (6.7%)	298 (5.7%)
Total	929 (7.5%)	824 (7.0%)	795 (6.2%)	755 (6.4%)	722 (6.2%)

**Black/African American.**

	2020	2019	2018	2017	2016
Undergraduate	315 (4.6%)	295 (4.4%)	299 (4.6%)	294 (4.6%)	321 (4.9%)
Graduate	540 (9.7%)	432 (8.4%)	426 (8.2%)	397 (7.4%)	401 (7.7%)
Total	855 (6.9%)	727 (6.1%)	725 (6.2%)	691 (5.9%)	722 (6.2%)



**Hispanic/Latinx.**

	2020	2019	2018	2017	2016
Undergraduate	859 (12.6%)	813 (12.1%)	751 (11.6%)	737 (11.4%)	719 (11.0%)
Graduate	759 (13.7%)	640 (12.5%)	605 (11.7%)	558 (10.5%)	512 (9.8%)
Total	1,618 (13.1%)	1,453 (12.3%)	1,356 (11.6%)	1,295 (11.0%)	1,231 (10.5%)

**Native Hawaiian/Other Pacific Islander.**

	2020	2019	2018	2017	2016
Undergraduate	2 (0.0%)	1 (0.0%)	5 (0.1%)	6 (0.1%)	4 (0.1%)
Graduate	7 (0.1%)	8 (0.2%)	8 (0.2%)	5 (0.1%)	3 (0.1%)
Total	9 (0.1%)	9 (0.1%)	13 (0.1%)	11 (0.1%)	7 (0.1%)

**Two or more races.**

	2020	2019	2018	2017	2016
Undergraduate	289 (4.2%)	270 (4.0%)	275 (4.2%)	271 (4.2%)	256 (3.9%)
Graduate	163 (2.9%)	147 (2.9%)	122 (2.4%)	91 (1.7%)	79 (1.5%)
Total	452 (3.7%)	417 (3.5%)	397 (3.4%)	362 (3.1%)	335 (2.9%)

**All minority students.**

	2020	2019	2018	2017	2016
Undergraduate	2,030 (29.7%)	1,864 (27.8%)	1,792 (27.7%)	1,726 (26.8%)	1,744 (26.7%)
Graduate	1,857 (33.5%)	1,591 (31.1%)	1,527 (29.5%)	1,417 (26.6%)	1,308 (25.1%)
Total	3,887 (31.4%)	3,455 (29.2%)	3,319 (28.5%)	3,143 (26.7%)	3,052 (26.0%)

***Trends for Faculty at Southern Methodist University for Fall Semesters,  
2016-2020, by Rank and Gender***

	2020		2019		2018		2017		2016	
	F	M	F	M	F	M	F	M	F	M
Full Professor (Tenured or Tenure Track)	48	169	44	165	47	169	45	174	43	181
Associate Professor (Tenured or Tenure Track)	54	104	56	111	59	104	59	104	60	104
Assistant Professor (Tenured or Tenure Track)	61	50	58	45	54	53	49	48	42	50
Instructor (Non-Tenure Track)	4	13	4	8	5	10	6	9	8	7
Senior Lecturer (Non-Tenure Track)	43	25	43	23	43	19	49	17	45	17
Lecturer (Non-Tenure Track)	48	27	44	35	50	35	48	52	52	47
xxx-in-Residence (i.e., Artist-in-Residence)	3	4	3	4	4	5	3	6	4	5
Clinical/Technical (Non-Tenure-Track)	43	27	40	19	40	20	29	20	26	21
Professor of Practice (Non-Tenure-Track)	14	30	11	41	12	34	15	25	15	21
<i>Total Faculty</i>	<i>318</i>	<i>449</i>	<i>303</i>	<i>451</i>	<i>314</i>	<i>449</i>	<i>303</i>	<i>455</i>	<i>295</i>	<i>453</i>

Source: Southern Methodist University. (2020c). *Instructional faculty by tenure status,*

*rank and gender.* <https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/>

[Ten\\_Rank\\_Gen\\_2020-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/Ten_Rank_Gen_2020-2021.pdf?la=en)

***Trends for Faculty at Southern Methodist University for Fall Semesters,  
2016-2020, by Race and/or Ethnicity***

	2020	2019	2018	2017	2016
Asian	72 (9.4%)	65 (8.6%)	65 (8.5%)	58 (7.7%)	67 (9.0%)
Black/African American	31 (4.0%)	31 (4.1%)	28 (3.7%)	29 (3.8%)	27 (3.6%)
Hispanic (of any Race)	41 (5.3%)	42 (5.6%)	45 (5.9%)	46 (6.1%)	44 (5.9%)
Two or More Races	5 (0.7%)	7 (0.9%)	7 (0.9%)	7 (0.9%)	7 (0.9%)
<i>Total Minority Faculty</i>	149 (19.4%)	145 (19.2%)	145 (19.0%)	140 (18.5%)	145 (19.4%)
<i>Total Faculty</i>	767	754	763	758	748

\*For the years reported, no faculty members self-identified as Native Hawaiian/Other Pacific Islander or American Indian/Alaska Native. Percentages below statistics represent percentage of total faculty. For example, in 2020, 9.4% of faculty members self-identify as Asian, and 19.4% of all faculty members self-identify as one of the above minorities.

Source: Southern Methodist University. (2020b). *Instructional faculty by ethnicity and gender*. [https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/Eth\\_Gen\\_2020-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Faculty/Eth_Gen_2020-2021.pdf?la=en)

**Appendix C: Library Budget*****Budget for General Account (Monies from Provost via Academic Affairs)******in FY 2021***

Category	Allocated	Spent	Percent of Budget*
Electronic Journals	\$2,796,328	\$2,765,182	53.4%
Electronic Databases	\$1,967,000	\$1,653,137	37.5%
Print Continuations	\$185,000	\$140,489	3.5%
DDA e-Books	\$146,000	\$68,478	2.8%
Media	\$101,000	\$93,660	1.9%
Miscellaneous Book-Related Costs	\$18,000	\$17,266	0.3%
Binding	\$28,000	\$9,756	0.5%
<i>Total Funds</i>	<i>\$5,241,328</i>	<i>\$4,747,967</i>	

\*Percent of budget reflects how much of the budget is allocated for each category. For example, 53.4% of the General Account budget for fiscal year 2021 was allocated for electronic journals.

Source: Sanabria, S. H. (2021b). *Budgets and balances: FY21*. Unpublished internal company spreadsheet. Received June 11, 2021.

***Budget for Endowment Funds in FY 2021***

Category	Available Funds	Spent	Percent of Budget*
Book Purchases	\$1,023,641	\$456,495	95.8%
Electronic Databases	\$11,193	\$9,343	2.0%
Electronic Journals	\$8,024	\$6,552	1.4%
Print Continuations	\$7,881	\$3,427	0.7%
Media Replacements/ Added Copies	\$2,000	\$619	0.1%
<i>Total Funds</i>	<i>\$1,052,739</i>	<i>\$476,436</i>	

\*Percent of budget reflects how much of the budget was spent in each category. For example, 95.8% of the Endowment funds spent in fiscal year 2021 were spent on book purchases.

Source: Sanabria, S. H. (2021b). *Budgets and balances: FY21*. Unpublished internal company spreadsheet. Received June 11, 2021.

***Percent of Increase in Budgeted Funds for SMU Libraries over Last 5 Years***

Fiscal Year	Percent Increase over Previous Year
2022	3%
2021	5%
2020	6%
2019	15%
2018	16%

Source: Sanabria, S. H. (2021a). *Annual increase to General Account*. Unpublished internal company document. Received June 11, 2021.

**Appendix D: Programs Offered Through Southern Methodist University*****Degrees Awarded by Program in 2020***

	Undergraduate (Bachelors)	Graduate (Masters, Doctorates & Certificates)	Total	Percentage of Total Degrees
Cox Business	531	627	1,158	29.5%
Dedman Humanities & Sciences	765	107	872	22.2%
Dedman Law	NA	253	253	6.5%
Guildhall (Gaming & Technology)	NA	67	67	1.7%
Lyle Engineering	212	354	566	14.4%
Data Science Research & Graduate Studies	NA	135	135	3.4%
Meadows Arts	265	98	363	9.3%
Perkins Theology	NA	60	60	1.5%
Simmons Education & Human Development	102	344	446	11.4%
<i>Total Degrees Awarded</i>	<i>1,875</i>	<i>2,045</i>	<i>3,920</i>	

Source: Southern Methodist University. (2020a). *Degrees awarded by academic year.*

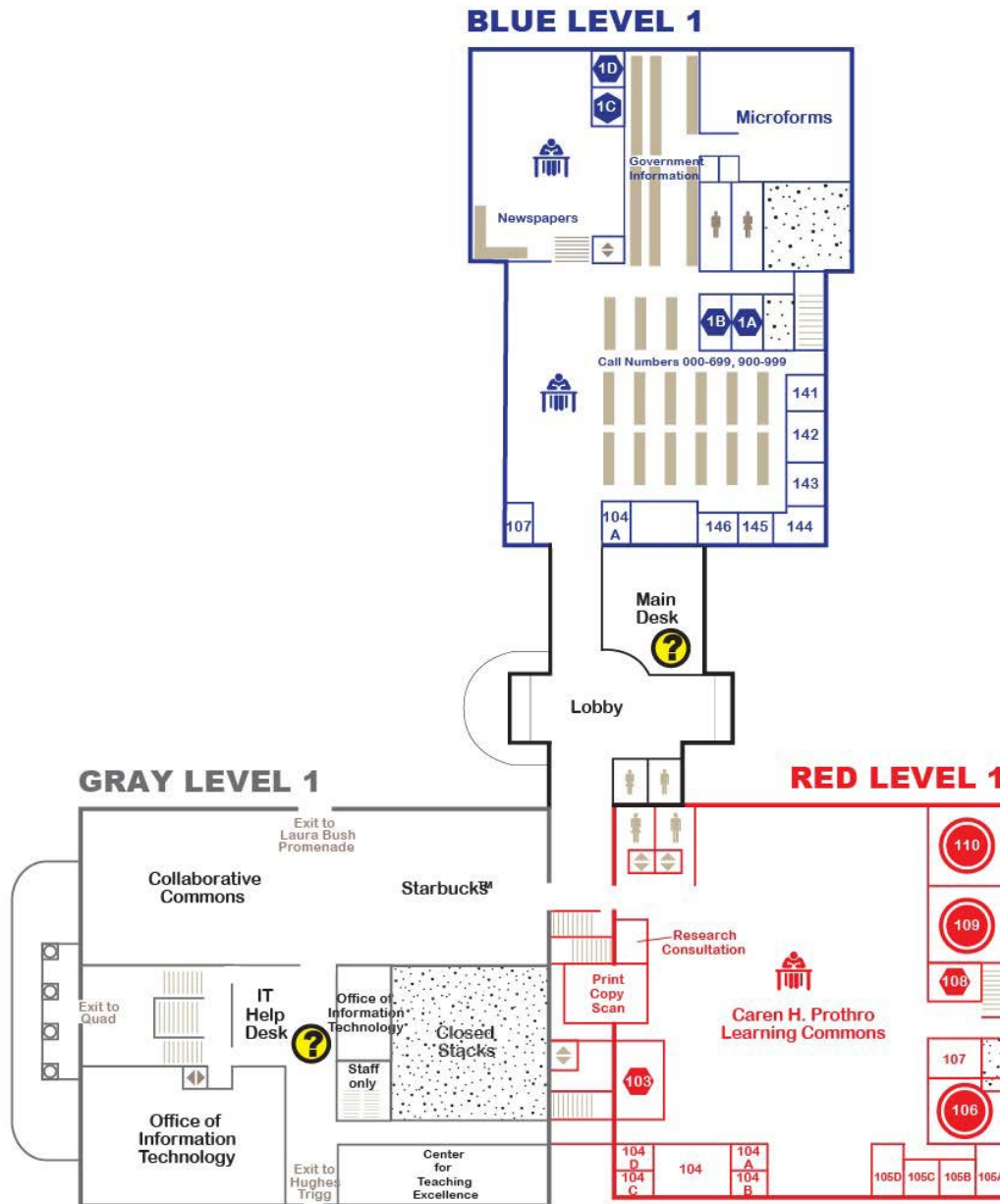
<https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/>

[Degrees\\_Awarded\\_Acad\\_Year\\_Compare\\_2000-2021.pdf?la=en](https://www.smu.edu/-/media/Site/ir/Trends/2020/Student/Degrees_Awarded_Acad_Year_Compare_2000-2021.pdf?la=en)

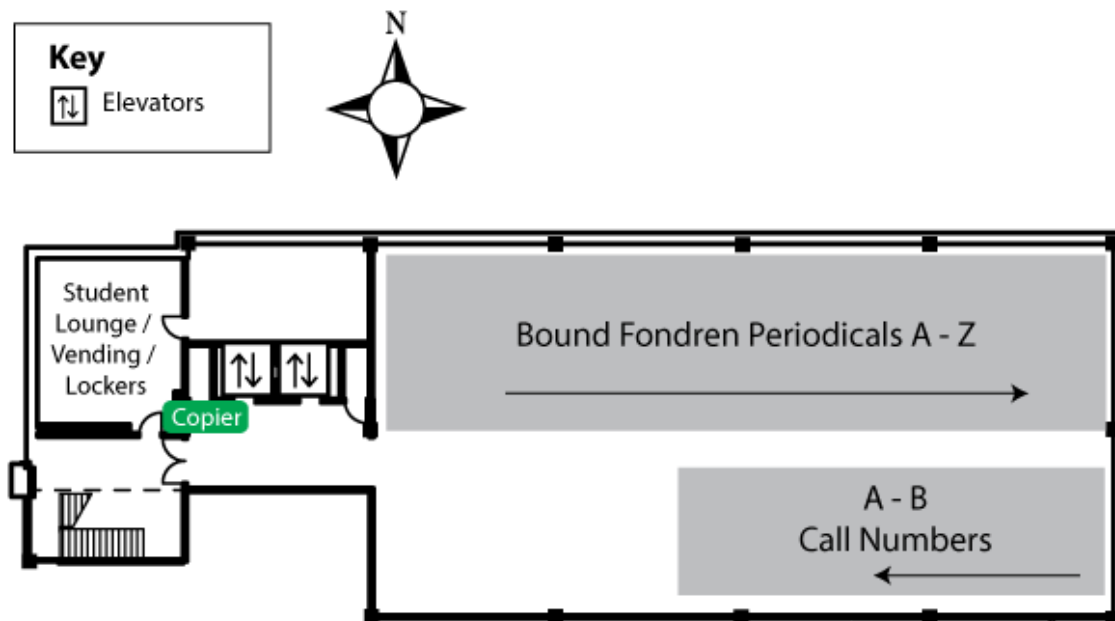


Appendix E: Library Maps

*Fondren Library Floor Plan, Level 1*

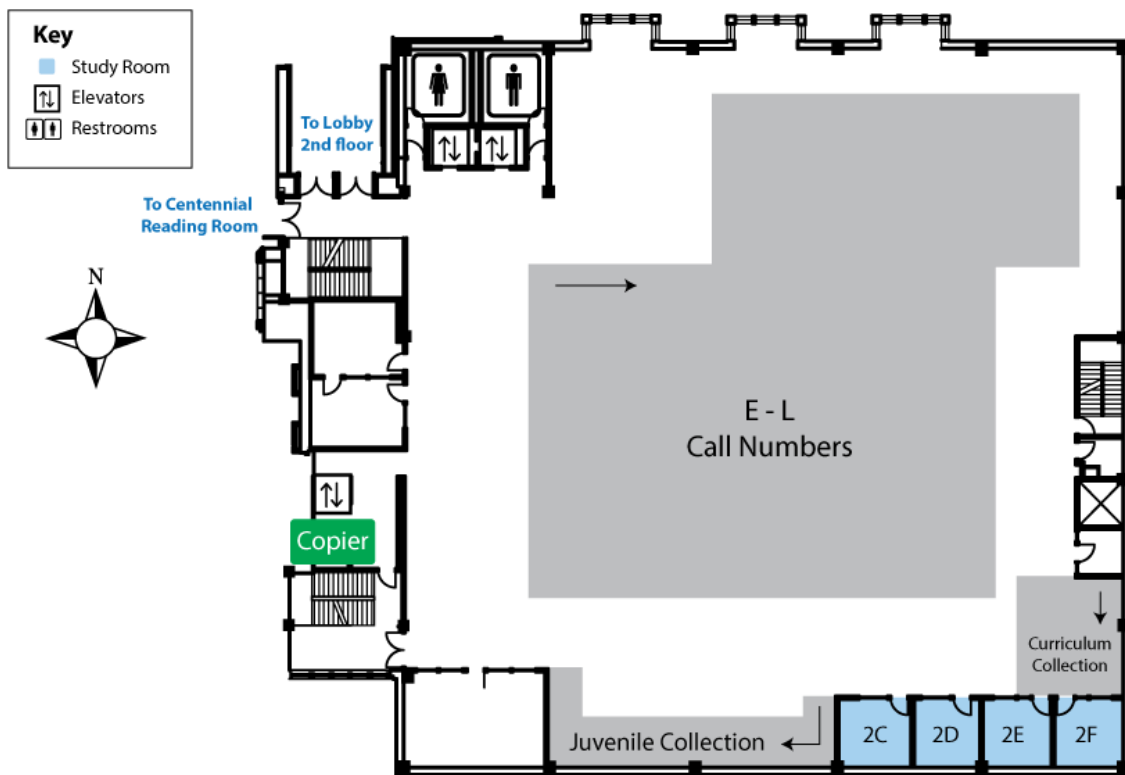


Source: SMU Libraries. (n.d.f). *Fondren Library floor map, first floor*. Southern Methodist University. <https://www.smu.edu/-/media/Site/Libraries/fondren/about/maps/fondrenfirst.pdf?la=en>

**Fondren Library Red Stacks****Basement.**

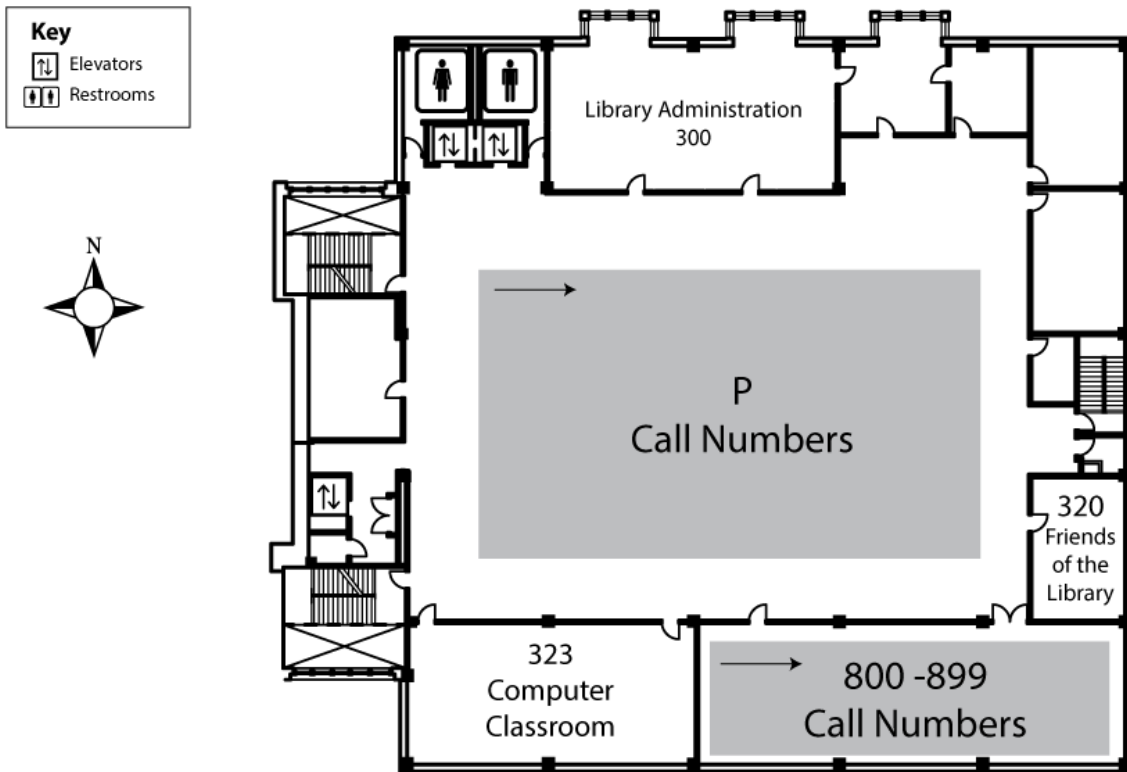
Source: SMU Libraries. (n.d.g). *Fondren Library Red stacks maps*. Southern Methodist University. <https://www.smu.edu/libraries/location-maps/fondren-red-stacks>

Level 2.



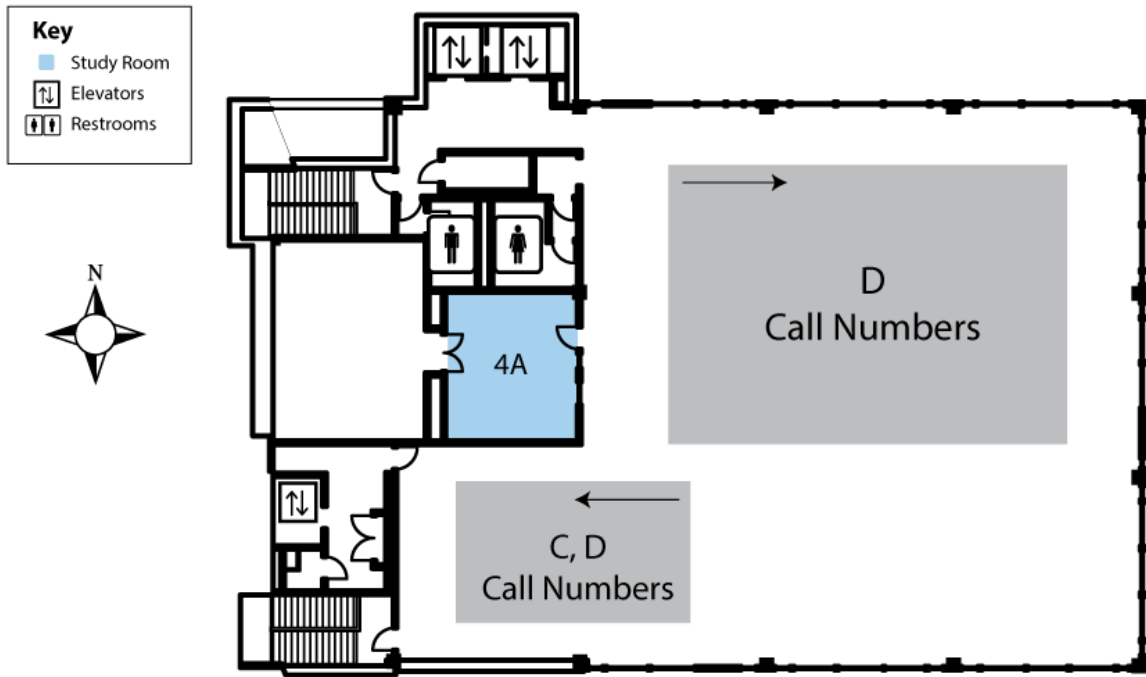
Source: SMU Libraries. (n.d.g). *Fondren Library Red stacks maps*. Southern Methodist University. <https://www.smu.edu/libraries/location-maps/fondren-red-stacks>

**Level 3.**



Source: SMU Libraries. (n.d.g). *Fondren Library Red stacks maps*. Southern Methodist University. <https://www.smu.edu/libraries/location-maps/fondren-red-stacks>

**Level 4.**



Source: SMU Libraries. (n.d.g). *Fondren Library Red stacks maps*. Southern Methodist

University. <https://www.smu.edu/libraries/location-maps/fondren-red-stacks>

**Fondren Library Blue Stacks**

**Level 1.**



Source: SMU Libraries. (n.d.d). *Fondren Library Blue stacks maps*. Southern Methodist University. <https://www.smu.edu/libraries/location-maps/fondren-blue-stacks>

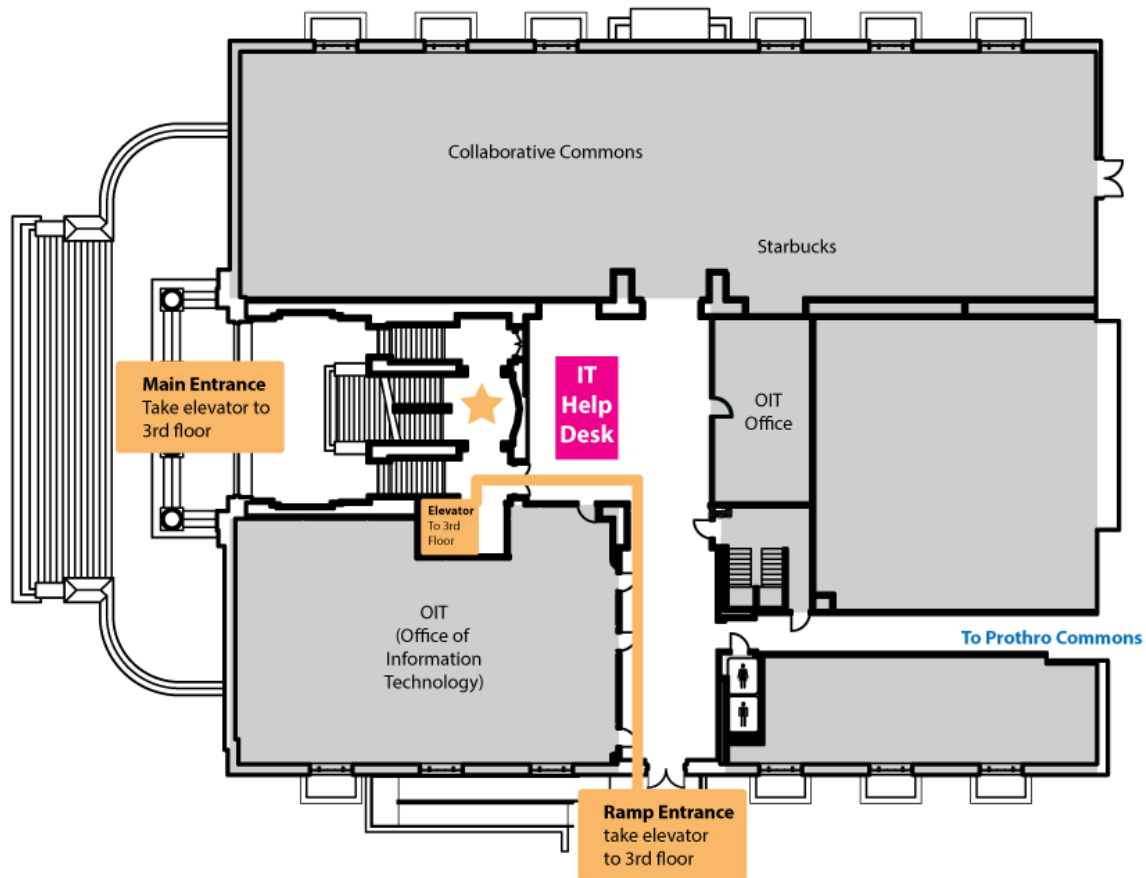
**Level 2.**



Source: SMU Libraries. (n.d.d). *Fondren Library Blue stacks maps*. Southern Methodist University. <https://www.smu.edu/libraries/location-maps/fondren-blue-stacks>

**Fondren Library Grey****Level 1/directions to DeGolyer Library.**

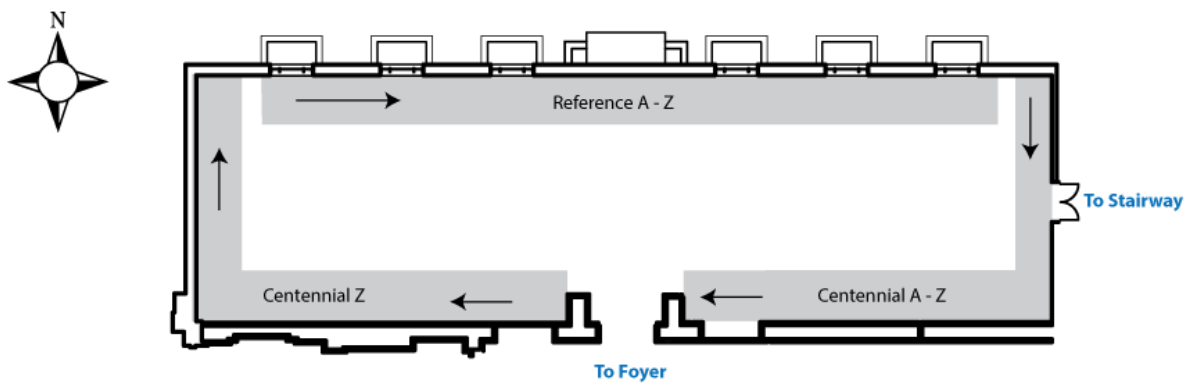
The DeGolyer Library has closed stacks. Please visit the front desk to view collections.  
Special permission may be required to access collections prior to your visit.  
Contact the library for more information.



Source: SMU Libraries. (n.d.c). *DeGolyer Library map*. Southern Methodist University.

<https://www.smu.edu/libraries/location-maps/degolyer>



**Level 2, Fondren Library Centennial Reading Room.**

Source: SMU Libraries. (n.d.e). *Fondren Library Centennial Reading Room, level 2 map*. Southern Methodist University. <https://www.smu.edu/libraries/location-maps/fondren-reading-room>

## **Appendix F: General Collection Development Policy of the SMU Libraries**

The Collection Development Policy of the SMU Libraries is a written guide relating the Libraries' collecting policy to the specific curricular and research needs of the University faculty and students, and to the interests of the University community. The policy is intended to coordinate collection development throughout the SMU Libraries through a detailed analysis of all subjects of collecting interest and a quantification of the collecting levels that support these subjects.

It has been made specific enough to guide the daily selection of materials, to help frame the parameters of approval plans, to assist in the acceptance and review of gifts, and to aid in decisions regarding preservation and retention.

The policy is subject to revision by the Department of Collection Development and Management as University needs and objectives change.

### ***Overview***

#### **Purpose of collections.**

Because the primary purpose of the collection is to support teaching and research, the majority of the materials purchased will be of a scholarly nature.

Selected popular works may be collected in any discipline if they are judged to have an important social or historical significance. Older and outdated materials in all disciplines may be maintained if they document the history of a discipline, or represent the social mores, beliefs, and attitudes of the past.

The libraries do not make an effort to collect for recreational reading, but for the long-term support of the curriculum. Fiction which is collected is expected to have literary merit, be representative of a genre, or have historical or social significance.

### **Library liaisons.**

Library liaisons serve as subject specialists for one or more academic disciplines, and their selections constitute the majority of the libraries' new acquisitions. A library liaison is assigned to one or more academic departments in order to consult with faculty in the department(s) on issues pertaining to the selection and maintenance of library materials in their subject area(s). Faculty members will request library materials for their courses, and for their research, by corresponding directly with their liaison. The liaison is also expected to become familiar with the literature of their assigned subjects, and to make independent decisions regarding the purchase of materials. They should keep abreast of research interests their departments, and may wish to consult with faculty on issues such as weeding and conservation.

### **Information common to all subject statements.**

*General Purpose:* The primary and secondary programs of instruction and research supported by the collection are listed here.

*Description of University Program:* The academic program and research community supported by the collection is described here.

*Subject Boundaries:* Physical boundaries of the collection, such as separation of sub-categories or related disciplines between libraries, are described here.

*Languages and Geographical Areas:* Primary and secondary resources in a language other than English required to maintain the collection at the given level are described here.

*Format and Types of Materials Collected:* Formats and special materials unique to the subject matter and required to maintain the collection at the given level are described here.

*Special Collections and Manuscripts:* Special collections and manuscripts required to maintain the collection at the given level are described here.

*Collection Levels:* Goal collection levels are indicated by individual Library of Congress call number ranges according to the collection depth indicator definitions.

### ***Collection Depth Indicators***

The following collection depth indicator definitions were based on those revised in 1996-1997 by the Association of Research Libraries.

#### **1. Basic information level.**

Collections that serve to introduce and define a subject, to indicate the varieties of information available elsewhere, and to support the needs of general library users through the first two years of college instruction include:

- A limited collection of monographs and reference works.

- A limited collection of representative general periodicals.
- Defined access to a limited collection of owned or remotely-accessed electronic bibliographic tools, texts, data sets, journals, etc.

The collection should be frequently and systematically reviewed for currency of information. Superseded editions and titles containing outdated information should be withdrawn. Classic or standard retrospective materials may be retained.

## **2. Study or instructional support level.**

Collections that provide information about a subject in a systematic way, but at a level of less than research intensity, and to support the needs of general library users through college and beginning graduate instruction include:

- An extensive collection of general monographs and reference works and selected specialized general monographs and reference works.
- An extensive collection of general periodicals and a representative collection of specialized periodicals.
- Limited collections of appropriate foreign language materials – e.g., foreign language learning materials for non-native speakers of foreign language materials about a topic such as German history in German.
- Extensive collections of the works of better-known authors and selections from the works of lesser-known authors.
- Defined access to an extensive collection of owned or remotely-accessed electronic resources, including bibliographic tools, texts, data sets, journals, etc.

The collection should be systematically reviewed for currency of information and for assurance that essential and important information is retained, including significant numbers of classic retrospective materials.

### **3. Research level.**

A Collection that contains the major published source materials required for doctoral study and independent research includes:

- A very extensive collection of general and specialized monographs and reference works.
- A very extensive collection of general and specialized periodicals.
- Extensive collections of appropriate foreign language materials.
- Extensive collections of the works of well-known authors as well as other important but lesser-known authors.
- Defined access to a very extensive collection of owned or remotely-accessed electronic resources, including bibliographic tools, tests, data sets, journals, etc.
- Older material that is retained and systematically preserved to serve the needs of historical research.

### **4. Enhanced research level.**

Collections at this level have all the attributes of the Research Level but are enhanced by unique Special Collections holdings and/or by subject-specific collections endowment funds.

***Collected Materials Formats*****Books.**

For the purposes of this policy, the word “books” refers to monographs and serials in both print and electronic formats.

Books are acquired in one of four ways:

1. **Automatically:** the Library automatically receives all publications from selected publishers in selected subject areas. Automatic purchases include series on Standing Order.
2. **Liaison Selection:** Liaisons choose materials that support teaching research in their subject areas.
3. **Faculty or Researcher Request:** Liaisons purchase materials requested by library users.
4. **Demand Driven Acquisitions:** This category consists of E-books accessible to users, but which the library does not own until a significant amount of usage activates a purchase.

A dollar amount is budgeted annually for books in each academic discipline. Library Liaisons will make purchases for the collections using the specific fund assigned to their disciplines, and will receive monthly reports of expenditures.

Library liaisons will determine which book format (print or e-book) is most appropriate for the collection on a case by case basis. Some disciplines may have a clear preference for one over the other, though most will prefer a mixture of both. The library

may duplicate titles in two formats if specifically requested by a faculty member, or in cases where demand for a title is unusually high.

Supplemental materials such as CDs, CD-ROMs and maps are shelved with the book unless size precludes it.

The libraries make every effort to collect the works of SMU professors, and also of Alumni, as appropriate.

The library does not collect textbooks, workbooks, or consumable print materials.

### **Journals.**

The Library does not subscribe to journals or collect other serials in multiple formats.

Electronic is the preferred format for journals with some exceptions based on curricular or archival needs. Journals may be subscribed to individually, included as part of a large journal package, or received as part of a membership. Long-term support of the curriculum is the most important concern when considering new journal subscriptions.

JSTOR is considered a stable electronic journal repository, the stability of other electronic repositories will be judged on a case by case basis.

The library does not collect or catalog off-prints, reprints, or photocopies of journal articles.

### **Electronic resources.**

Electronic resources must meet the same criteria that other formats must meet to be added to the collection: i.e., the data or information must support an identifiable current



or future research or curricular need of the University community. In addition, electronic resources are not considered a viable alternative to print resources if they in any way impede access or impose additional costs on the patron.

### **Text and data sets.**

SMU Libraries will acquire text and data mining sets selectively, with the primary goals being to support faculty research and dissertation- and thesis-level work by graduate students. Priority will be given to the acquisition of data sets to which SMU retains permanent rights. For course work and exploratory research, we recommend starting with resources that provide a web-based interface for exploration, such as the HathiTrust Research Center and JSTOR Data for Research.

Any independent data sets must include documentation which describes their internal format and meaning, and which can assist in the recovery of the data should changes to the University computing environment render it unreadable in the future.

### **Media.**

Faculty may request visual media to support their courses, including documentaries and feature films. The library subscribes to streaming video services, some of which require a request from a SMU faculty member before library staff can make the film available to the campus community. Faculty who wish to make films available from the Kanopy streaming service or the Digital Campus streaming service should contact their liaison librarian or fill out the request form that is available in those interfaces.

If a film is considered essential to a course, it may be necessary to acquire it in a physical format, such as DVD or Blu-ray, for the library to ensure its ability to support

the course in the future. Rights holders can remove content from streaming services at any time, and content is regularly removed from all of our streaming services.

When acquiring physical media, the DVD format is preferred over Blu-ray, and the VHS format is no longer supported by the libraries. Blu-ray can be acquired as needed, if it is determined to be necessary by teaching faculty. Due to the limited availability of playback equipment, DVDs and Blu-rays coded for a foreign region will only be purchased when no local-region or region-free versions are available, and only as determined to be necessary by the faculty. The libraries will acquire films in the requested formats, but SMU's Office of Information Technology oversees all classroom technology. Faculty should work with OIT in advance of any planned classroom screening to determine whether the room is equipped to show the film.

The Hamon Arts Library preserves sound recordings in all formats, with Compact disc being the preferred collecting format. The library also subscribes to music streaming services.

### **Manuscripts and other unpublished works.**

All unpublished works are housed in Special Collections.

### **Open access.**

The SMU Libraries support the goal of making research and scholarship accessible to a broad audience, both inside and outside the academy. Recognizing that opportunities to support open access to scholarship are varied, we will prioritize the following kinds of initiatives for support with the Libraries acquisitions budget:

- Open access projects that align with our General Collection Development Policy
- Support of university, local, and regional presses
- Support of initiatives that have long-term preservation plans, discovery mechanisms such as MARC records, and appropriate editorial oversight
- Support for projects and services that do not overlap with those already provided by SMU and its Libraries
- Support for initiatives that are administered through consortia of which the library or university are members.

We will monitor the Libraries' investment in open access, to ensure the continuing alignment of the project or publisher with SMU Libraries' collection development policy and strategic plan, and that the content is findable and usable.

### ***Weeding, Conservation, and Preservation***

#### **Weeding.**

Weeding is performed as needed to provide space for collection growth, to prevent damage to library materials caused by overcrowding, and to keep collections relevant to the curriculum. Candidates for weeding include unneeded duplicates, outdated materials widely held, and damaged items which can be replaced. Liaisons may, at any time, submit a list of items to be considered for withdrawal to the Collection Development Librarian, who will make the final decision regarding retention.

#### **Conservation and preservation.**

Preservation activities at SMU currently focus on binding and mending of materials with

primary emphasis on the binding and repair of materials which are most used and on extending the shelf life of older materials.

Whenever possible, such material will be returned to the circulating collection using one of two means: 1) materials which are judged to be sturdy enough to withstand machine binding are outsourced to a commercial bindery, while materials which are too fragile to withstand machine binding but which are not too fragile to circulate, are placed in custom-built protective phase boxes, also outsourced.

Severely damaged materials are re-evaluated in terms of their current relevance and historical significance, and may be repaired, removed, or replaced, according to the judgment of the Collection Development Librarian.

Books which are determined to be unique, rare, or valuable may be offered to the DeGolyer Library, which can provide a more controlled environment.

SMU Libraries. (n.d.h). *General collection development policy*. Southern Methodist University. <https://www.smu.edu/libraries/about/collections/general>

**Appendix G: SMU University Policy Manual, Section 1.9:****Service of Subpoenas and Agency Requests for Information*****1. Policy Statement***

Federal and state laws govern current and former student and employee records, as well as requests for “public” information under the federal Freedom of Information Act (“FOIA”) and the Texas Public Information Act. The Office of Legal Affairs at SMU is responsible for determining the appropriate response to a subpoena or other request for information received by an SMU employee or faculty member relating to SMU business records.

***2. Student Records***

All records maintained by any University department which pertain to current or former students are student records protected by the Family Educational Rights and Privacy Act of 1974, as amended (also known as FERPA or the Buckley Amendment). FERPA sets forth very strict guidelines which govern the University's release of student records to any person other than the student, without first obtaining the student's prior written consent, or the student's authorization of release of the student's records through the Office of the Registrar in my.SMU.

FERPA permits the release of student records under very limited circumstances, which include those records requested by a validly issued subpoena. It is important that no response indicating the existence (or non-existence) of student records pursuant to a subpoena served on any employee of the University be made without the advice and consent of the Office of Legal Affairs. The Office of Legal Affairs must determine

whether the subpoena is validly issued and whether it meets the strict FERPA notice requirements to advise the current or former student of the subpoena, so that the student has an opportunity to raise objection to the subpoena with the issuing entity prior to the University's compliance.

SMU Police Department incident reports are not protected under FERPA and are subject to information requests under the Texas Public Information Act. (see University Policy 9.10, Public Information Requests)

Requests for student health records should be presented to the Dr. Bob Smith Memorial Health Center, which will coordinate the release of any student health or pharmacy records with the Office of Legal Affairs, and in accordance with University Policy 1.9, Privacy of Health Information (HIPAA).

### ***3. Employee Records***

Any subpoena requesting employment or payroll records or other information relating to current or former employees must be presented to the Office of Legal Affairs for review. Once the Office of Legal Affairs has verified that the subpoena is valid, it will coordinate compliance with the subpoena with appropriate SMU offices.

### ***4. Requests for Records of Information under "FOIA" or the Texas Public Information Act***

A request presented to the University by an individual or entity claiming a right to the information under the federal "Freedom of Information Act" or "FOIA" or under the Texas Public Information Act are generally declined. As a private institution, SMU is generally not subject to these requests and declines to provide any information under a FOIA

request. However, please check with the Office of Legal Affairs to determine whether the request you receive is valid, and if any response is necessary. The Office of Legal Affairs will coordinate any response on behalf of SMU.

#### ***5. Refusal and Redirection of Service***

If service is attempted on an employee related to records described in section 2 or section 3 of this policy, the employee should decline to accept service of the subpoena and redirect the process server to the Office of Legal Affairs during regular business hours. Nevertheless, if service of a subpoena is accepted contrary to this policy, the person accepting service shall immediately contact the Office of Legal Affairs so that all proper steps are taken to protect the University from liability for wrongful release of student, or employee records.

#### ***6. Federal and State Agency Requests***

Various Federal and State agencies occasionally come onto campus seeking information through oral communication or access to files concerning particular students or employees. FERPA protects student records from this kind of "informal" disclosure. It is the University's policy to cooperate with all governmental agencies, but Federal law prohibits the University from cooperating in a manner that would violate FERPA, even when it is another Federal agency, or a state agency, requesting information. Please direct any representatives from state or federal agencies to the Office of Legal Affairs. The Office of Legal Affairs will review the request and any additional documents, and will coordinate the University's response to the request.

For additional information, please contact the Office of Legal Affairs or reference these FAQs.

Revised: January 2, 2019

Adopted: January 18, 1999

Southern Methodist University. (2019a). *University policy manual: 1.9, Service of subpoenas and agency requests for information*. <https://www.smu.edu/Policy/1-Institutional-Affairs/1-9-Service-of-Subpoenas-and-Agency-Requests-for-Information>



## **Appendix H: Policies for Fondren Library**

### ***Service Philosophy***

- We treat all people with courtesy and respect.
- We take personal responsibility for providing the best possible service at all times.
- We identify and address needs proactively and positively.
- We listen to our users and respond to suggestions and concerns with fairness and flexibility.
- We maintain the privacy of our library users without judgment or bias.

### ***Public Service Policies***

#### **Accessibility.**

Fondren Library is committed to providing resources for students with disabilities and creating open dialogue in order to better serve all users. If you have questions, concerns, or suggestions, please contact [libraryaccess@smu.edu](mailto:libraryaccess@smu.edu).

#### **Animals in the library.**

Service animals are welcome in the library.

#### **Cell phone and video chat calls.**

Please be considerate of others. Library staff may ask callers to move to a less disruptive area.

**Conduct.**

Fondren Library expects all visitors, both SMU affiliates and guests, to act responsibly and respectfully and follow [Patron Expectations When Using the Libraries](#). This includes:

- Adhering to University Policy 13.10 which prohibits “unauthorized canvassing, peddling, and/or solicitation.”
- Avoiding interfering with, threatening or harassing library staff or other library users, including engaging patrons in unwelcome conversations about religion, politics, or other issues.

**Donate materials.**

We regret that Fondren Library is unable to accept gifts of library materials at this time.

**Events at Fondren Library.*****Collaborative Commons (Starbucks) tabling.***

- All events must be library-sponsored or library-approved. For approval, please submit a [Tabling/Events Request](#).
- Events must be small and occur during a time of the year that minimizes disruption to students.
- Those sponsoring the event are responsible for set-up, take-down and all post-event clean-up.

***Texana Room.***

For inquiries about booking this space, contact [Elizabeth Killingsworth](#), Associate Dean of SMU Libraries and Director of Fondren Library.

**Filming and photography in Fondren Library.**

Filming and photography in Fondren Library must be approved by the Director of Fondren Library. Submit a [Film Request Form](#) to the Fondren Library Main Desk for approval at least 5 business days prior to the filming date.

Filming and photography:

- May be performed only in approved areas.
- Must not disturb library users or staff members, or interfere with normal library operations.

**Food and drink.**

Food and drink are allowed. Please dispose of your trash and report large spills to library staff. You are responsible for any damage to library equipment.

**Fund raising.**

Student fund raising activities are not allowed in the library. For Southern Methodist University fund raising policies and procedures, please visit the [University Policies Manual](#) Section 6.4.

**Lost & found.**

Lost & Found is located at the Main Desk in the lobby of Fondren Library. Valuables are held for 7 days and then taken to the [SMU Police Department](#) campus lost and found. SMU ID Cards are taken to [Parking and ID Card Services](#) in Hughes-Trigg Student Center. All other items are held for 30 days and then donated or discarded.

**Posting on bulletin boards.**

Fondren Library staff reserve the right to remove postings at their discretion. Items posted anywhere other than designated bulletin boards (e.g. walls or doors) will be removed.

**Privacy and confidentiality.**

Fondren Library actively protects the privacy and confidentiality of library patrons and their use of resources and services. Library patrons are entitled to view and update their information. Some information is provided by other campus offices (e.g. Registrar's Office or Human Resources), so may need to be updated elsewhere if it is not correct.

Fondren Library will not share data with others unless required by law. We conduct regular privacy audits in order to ensure that all library programs and services are enforcing our privacy policy. Questions, concerns, or complaints about the library's handling of personal information should be directed to the Director of Fondren Library. See the University [Information Security policy](#) for more information.

**Quiet study areas in Fondren Library.**

The Library has designated [Quiet Study and Group Study areas](#). Signage indicating the designation is posted on each floor. Please notify a library staff member if someone is being disruptive.

***Quiet study.***

- Speak quietly and only when necessary. Keep conversations brief.
- No cell phone use.

***Group study.***

- Quiet discussion encouraged.
- Cell phone use OK in study rooms, lobby, and stairwells.

**Smoking.**

All tobacco products and e-cigarettes are prohibited.

**Study room policies.**

- Group study rooms are available for use by SMU students, staff, and faculty.
- The maximum reservation length is 3 hours and 6 hours total per day.
- Study room windows cannot be blocked or covered at any time.

***Fondren Library graduate study room policies.***

- Individual long-term study rooms are assigned to SMU graduate and doctoral students on a first come-first served basis.

- Rooms are assigned for one academic year. Renewals are granted on a case-by-case basis.
- Please check out items before leaving them in your study room.
- The library assumes no responsibility for personal items left in the rooms.

### **Unattended belongings.**

Please do not leave personal belongings unattended. The library is not responsible for loss, theft, or damage of personal property. Personal belongings may not be used to hold a study, carrel, or computer. The library reserves the right to remove unattended belongings to lost and found, located at the Main Desk.

SMU Libraries. (n.d.j). *Policies for Fondren Library*. Southern Methodist University.

<https://www.smu.edu/libraries/fondren/about/policies>

**Appendix I: SMU University Policy Manual, Section 8.2: Information Security****1. Definitions**

Definitions of capitalized terms are set forth in Appendix A [of this policy].

**2. Policy Statement**

It is the policy of the University to manage and protect the privacy and Personally Identifiable Information of all students, employees and other members of the University community consistent with federal and state privacy laws. Personally Identifiable Information is protected by federal laws including but not limited to the Gramm-Leach-Bliley Act (“GLBA”) for the safeguarding of non-public information, the Family Educational Rights and Privacy Act (“FERPA”) for the protection of information contained in student records, and, to the extent applicable, the Health Insurance Portability and Accountability Act (“HIPAA”) for the management of protected health information.

The Information Security Program is designed (i) to assist University employees in the identification of reasonably foreseeable internal risks to the security of Personally Identifiable Information and University Data, the assessment of the potential damage of those risks and the evaluation of the sufficiency of existing procedures, business practices, and other safeguards; (ii) to create procedures, business practices, or safeguards to minimize those risks; and (iii) to monitor and improve of the effectiveness of those procedures, business practices and safeguards. This policy provides a minimum security standard for protecting Personally Identifiable Information and University Data and does not restrict creation and enforcement of more restrictive

policies for individual University administrative or academic units, provided that such additional policies conform to this policy.

### **3. Purpose**

The purpose of this policy is to promote effective administrative, technical, and physical safeguards for the protection of Personally Identifiable Information and University Data maintained by the University on the University's Resources. Resources are valuable University assets and the University must manage Resources properly to ensure their integrity, confidentiality, and availability for lawful University educational, research, service and administrative activities.

### **4. Applicability**

This policy applies to all Users and to all Resources, whether managed by the Office of Information Technology ("OIT") or by another person or entity. In addition to addressing information stored on computing Resources, this policy addresses protection of Personally Identifiable Information stored on paper records and protection of University Data.

### **5. General**

All Users are responsible for managing Resources for the purposes stated in this policy.

At a minimum, each User must comply with the following requirements:

- a. All University-owned laptop computers must be encrypted;
- b. All University-owned computers must be configured according to OIT minimum security standards, including antivirus, password-enabled screen savers, and



inventory. This security lockout feature must automatically initiate after the computer remains idle from user interaction after a predefined time period.

- c. Users must immediately report to the OIT Help Desk at [help@smu.edu](mailto:help@smu.edu):
  - i. stolen laptop computers and other security breaches;
  - ii. suspected unauthorized access to Resources or other suspected security breaches; or
  - iii. disclosure or suspected disclosure of Personally Identifiable Information.
- d. Users must comply with all requirements of OIT's Information Security Incident Response Procedures, available at <http://www.smu.edu/OIT/Infosec/Policy>.  
Because specific processes have been established to address security breaches, any suspected security breach should be reported immediately to the IT Help Desk, [help@smu.edu](mailto:help@smu.edu).
- e. It is University policy to regulate and manage the selection, distribution, use, modification and testing of computer access authentication solutions such as biometrics and/or smart cards. Effective password management is a critical element in assuring the overall security of the University's information systems and protection of its information assets. Unauthorized use of a computer password is a violation of University policy and may lead to disciplinary action.
- f. OIT shall establish minimum baseline standards for passwords on all multi-user systems for which it has responsibility. These standards shall include minimum length, characteristics, and expiration cycles for all Resources. OIT's responsibility for monitoring the overall security of the University's information technology environment includes testing the strength of passwords on all multi-

user systems. The computer access authentication solution standards established by OIT are available to campus users as part of the Procedures for Using Information Technology Resources at SMU on the University web site (<http://www.smu.edu/OIT/Infosec/Password>).

- g. In addition to complying with the requirements of this policy, Users are directed to University Policies 8.1, Acceptable Use, 4.4, Collection of Funds, 8.3 Mobile Equipment and Mobile Services, and 8.6, Institutional Data Governance for additional requirements.

## **6. Responsibilities**

- a. OIT is responsible for establishing and maintaining the security of Personally Identifiable Information and University Data stored on Resources and, together with the Police Department, for establishing and maintaining the security of Servers. As part of the University's Information Security Program, OIT will establish baseline standards for access to Resources and University Data stored on Resources. Automated procedures are used to assess and process potentially relevant security related threat activity or vulnerabilities to ensure that University Data and Resources are protected.
- b. In order to protect Personally Identifiable Information and University Data, faculty and staff members must regularly receive comprehensive security training that includes confidentiality best practices, privacy awareness, and required procedures. Training is incorporated into all full time staff and faculty new orientation requirements and must be completed within 6 months of hire and annually thereafter.

- c. User and managers of University administrative or academic units are responsible for the security of Resources, Personally Identifiable Information and University Data stored within their individual domains. Each User and each manager of a University administrative or academic unit is responsible for determining whether particular University Data must be maintained in confidence and, with the assistance of OIT, for implementing and enforcing restrictions on confidential University Data equivalent to the restrictions set forth in this policy with respect to Personally Identifiable Information.
- d. Users must abide by all applicable University guidelines, policies and procedures and with all applicable federal and state laws and regulations.
- e. System Administrators must monitor and assure compliance with this policy by the System Administrator's administrative or academic unit. System Administrators are also responsible for promptly identifying and reporting suspected abuse to OIT, especially any damage to or problems with files or systems. Electronic logs of all security problems and related matters must be maintained by each System Administrator.
- f. Users must cooperate with System Administrators in any investigation of System Abuse.
- g. The Chief Security Officer ("CSO"), or a person designated by the Chief Information Officer ("CIO"), will establish and chair an Information Security Advisory Council that includes representation from Academic Affairs, the University Internal Auditor, Campus Services, Development and External Affairs, Student Affairs, and other divisions of the University. The ISAC shall meet

regularly to review and recommend policy changes, additions or requests for exceptions. Each member of the Council will serve as a liaison to that member's administrative or academic units and other units as assigned by the CSO for communication and training related to the Information Security Program.

- h. The CSO, or a person designated by the CIO, is the primary contact for the interpretation, enforcement and monitoring of this policy and the resolution of issues, including resolving conflicts between security policies and procedures of University administrative or academic units and this policy. The CSO is responsible for the administration of the University's Information Security Program and will provide technical data security support to University administrative or academic units in the development of unit security policies and procedures. The CSO is responsible for overseeing internal security and risk assessments, and penetration testing. In the event of a conflict between this policy and any security policies or procedures of a University administrative or academic unit, this policy controls. Legal questions must be referred to the Office of Legal Affairs.
- i. Any User who fails to cooperate with System Administrators and/or the CSO in any investigation of System Abuse may have access privileges cancelled or face other disciplinary and/or legal action. Additional sanctions are set forth in Paragraph 19 of University Policy 8.1, Acceptable Use. In cases where Resources are threatened, the CSO will act in the best interest of the University by securing the Resources. When possible, the CSO will abide by the incident handling procedures to mitigate the threat. In an urgent situation requiring

immediate action and leaving no time for collaboration, the CSO is authorized to disconnect any affected device from the network. University Resources are subject to vulnerability assessment and safeguard verification by the CSO.

## **7. *Protection of Personally Identifiable Information***

- a. Users will protect and safeguard against unlawful disclosure or unlawful use of any Personally Identifiable Information collected or maintained by the University in the regular course of business according to the Identity Theft Protection Program available at <http://www.smu.edu/OIT/Infosec/Policy>.
- b. Each University administrative or academic unit that collects or processes data will determine which Users may have access rights to Personally Identifiable Information. Personally Identifiable Information will be stored in the minimum number of places possible to protect the Personally Identifiable Information, while continuing to conduct University business effectively and efficiently. Access to Resources and any other records or files containing Personally Identifiable Information is restricted to those who need such information to perform their job duties.
- c. Users must comply with the following requirements:
  - i. Personally Identifiable Information may only be released in accordance with University Policies, OIT procedures, and policies and procedures of University administrative or academic units;
  - ii. Any member of the campus community who is contacted by individuals who identify themselves as law enforcement officers or otherwise request information for law enforcement purposes must direct the requestor to the

University Police Department. See University Policy 1.9, Service of Subpoenas and Agency Requests for Information.

- d. Personally Identifiable Information will be treated as follows:
  - i. No Personally Identifiable Information may be stored on a non-University-owned Resource without the written permission of the CIO or his/her designee. If the CIO or his/her designee grants approval, the CSO must approve the security configuration of the non-University-owned Resource.
  - ii. University-owned resources or approved 3rd party services which store Personally Identifiable Information must be protected as provided by the security procedures established by OIT and set forth at:  
<http://www.smu.edu/OIT/Infosec/Policy>
  - iii. Non-University-owned Resources which have been approved to store Personally Identifiable Information and all University-owned Resources must be protected per the security procedures established by OIT available at: <http://www.smu.edu/OIT/Infosec/Policy>.
- e. In addition to the requirements relating to computing Resources, paper records or files containing Personally Identifiable Information will be kept in secured locations on the University premises and no paper records or files containing Personally Identifiable Information may be stored outside of the University premises without approval of the President or a Vice President of the University.
- f. Each University administrative or academic unit responsible for Personally Identifiable Information will arrange for the destruction of records or files containing Personally Identifiable Information that are not to be retained, by

shredding, erasing, or otherwise modifying the Personally Identifiable Information to make the information unreadable or undecipherable through any means. OIT-approved procedures for the destruction of electronic media are available at:

<http://www.smu.edu/OIT/Infosec/Policy>.

## 8. Questions

The CIO or designee shall be responsible for interpretation of this policy, resolution of problems and conflicts with departmental policies, and special situations. The CIO may grant exceptions to this policy and/or standards after a formal review as provided below.

### Appendix A: Definitions

- **“Breach”** means an unauthorized access to, unauthorized use of, or disclosure of unencrypted data or encrypted data along with the key used to decrypt the encrypted data that is capable of compromising the security, confidentiality, or integrity of Personally Identifiable Information. A good faith but unauthorized acquisition of Personally Identifiable Information for lawful purposes is not considered a breach unless the information is used in an unauthorized manner or is subject to further unauthorized disclosure.
- **“CIO”** means the Chief Information Officer of the University.
- **“Information Security Program”** consists of the information security procedures, daily operational tasks, and the Security Awareness Education and Training programs of the University, set forth at <http://www.smu.edu/OIT/Infosec/Policy>.
- **“ISAC”** means the Information Security Advisory Council established by this policy.
- **“CSO”** means the Chief Security Officer of the University.

- **“Mobile Equipment”** means cellular telephones, smart phones, data cards, hotspot devices, tablets, accessories and other telecommunications equipment requiring access to a telecommunications service provider network.
- **“OIT”** means the Office of Information Technology of the University.
- **“Paper Records”** means physical documents created or maintained by the University which contain Personally Identifiable Information.
- **“Personally Identifiable Information”** means information that alone or in conjunction with other information identifies an individual, including:
  - a. Standalone Information - information that alone identifies an individual, including:
    - i. social security number;
    - ii. driver’s license number or government-issued identification number; or
    - iii. any information described under “Combined Information” that alone identifies a person or permits access to the University’s or an individual's financial account.
  - b. Combined Information - an individual's first name or first initial and last name, or other unique identifier, in combination with any one or more of the following items, if the name and the items are not encrypted (or, if encrypted, are accompanied by the key used to decrypt the encrypted information):
    - i. unique biometric data, including the individual's fingerprint, voice print, and retina or iris image;



- ii. personal medical information;
  - iii. mother's maiden name;
  - iv. date of birth;
  - v. financial information pertaining to an individual; or
  - vi. credit or debit card number (including a University-issued procurement card number), unique electronic identification number, address, routing code or financial institution account number, in combination with any required security code, access code, or password that would permit access to the University's or an individual's financial account.
- c. Sensitive Personal Information that identifies an individual and relates to:
- i. the physical or mental health or condition of the individual;
  - ii. the provision of health care to the individual; or
  - iii. payment for the provision of health care to the individual.

Personally Identifiable Information does not include directory information described in Policy 1.10 (Privacy of Education Records (FERPA)) (applying that definition to University trustees, officers, employees, students, alumni, applicants, volunteers, donors, guests, customers and contractors engaged in University sponsored activities) or publicly available information that is lawfully made available to the public from the federal government or a state or local government.

- **“Resources”** means the University's computing, communications, and other information technology systems and includes all hardware, software (including data and documentation), local area networks, internet systems, and applications and

data stored on such information technology systems and any other electronic device or service that can store, transmit, or receive information. Resources include, but are not limited to, Servers, computers, personal computers, workstations, laptops, mainframes, minicomputers, Mobile Equipment, land line telephones, wireless devices, media players, storage media, computer networks, connections to network services such as the Internet and web pages, subscriptions to external computer services, networking devices, and any associated peripherals and software, regardless of whether used for educational, research, service, administrative or other purposes.

- **“Responsible Official”** with respect to this policy is the CIO.
- **“Server”** is any computer which shares applications, peripherals, file storage and other Resources, with client computers on a network.
- **“System Abuse”** means the proscribed activities described in Policy 8.1 (Acceptable Use) and any other activities deemed abusive by the CIO.
- **“System Administrator”** means an employee of the University who has been delegated responsibility for the operation, maintenance and administration of a Server or other Resource. The term "System Administrator" may apply to a single person, a group within a University administrative or academic unit or a consultant under contract to the University, who acts for the unit. System Administrators are accountable to the CIO for compliance with this policy and other information technology policies and procedures.
- **“University Data”** means critical data necessary to the University’s operation and other information created by or for the University, or by or for University trustees,

officers, employees, students, alumni, applicants, volunteers, donors, guests, customers or contractors engaged in University-sponsored activities.

- **“User”** means any person who installs, develops, maintains, administers, or uses Resources, whether for educational, research, service, administrative or other University purposes, including, but not limited to, University trustees, officers, employees, students, alumni, applicants, volunteers, donors, guests, customers, contractors engaged in University-sponsored activities, and System Administrators.

Revised: January 2, 2019

Adopted: February 25, 2002

Southern Methodist University. (2019c). *University policy manual: 8.2, Information*

*security*. <https://www.smu.edu/Policy/8-Information-Technology/8-2-Information-Security>

**Appendix J: SMU University Policy Manual, Section 2.1:****Standards of Professional Ethics for Faculty and Academic Freedom****1. *Policy Statement***

It is the policy of this University to support the academic freedom of faculty subject to standards of professional ethics.

**2. *Purpose***

The purpose of this policy is to set forth guidelines and expectations for standards of professional ethics for faculty as they interact with students, colleagues, and members of the community and to support academic freedom for faculty in teaching and research/creative activity.

**3. *Standards of Professional Ethics for Faculty and Academic Freedom***

- a. The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon him/her. The primary responsibility to the subject is to seek and to state the truth as one sees it. To this end the professor is devoted to developing and improving scholarly competence. The professor accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. The professor practices intellectual honesty. Although one may follow subsidiary interests, these interests must never seriously hamper or compromise the faculty member's freedom of inquiry.
- b. As a teacher, the professor encourages the students' free pursuit of learning. Holding before them the best scholarly standards of the discipline, the teacher

demonstrates respect for the student as an individual, and adheres to the proper role as an intellectual guide and counselor. He/she makes every reasonable effort to foster honest academic conduct and to assure that his/her evaluation of students reflects their true merit. The teacher respects the confidential nature of the relationship between professor and student, avoids any exploitation of students for private advantage by acknowledging significant assistance from them, and protects their academic freedom.

- c. As a colleague, the professor has obligations that derive from common membership in the community of scholars. The colleague respects and defends the free inquiry of one's associates. In the exchange of criticism and ideas, due respect is shown for the opinions of others. The professor acknowledges academic debts and strives to be objective in the professional judgment of colleagues. One's share of faculty responsibilities for the governance of the institution is accepted.
- d. As a member of his/her institution, the professor seeks, above all, to be an effective teacher and scholar. Although the professor observes the stated regulations of the institution, provided they do not contravene academic freedom, he/she maintains the right to criticize and seek revision. In determining the amount and character of the work one does outside the institution, due regard is given to the paramount responsibilities within the University. When considering the interruption or termination of one's service, the professor recognizes the effect of the decision upon the program of the institution and gives due notice of his/her intentions.

- e. As a member of the community, the professor has the rights and obligations of any citizen. The urgency of these obligations is measured in the light of the responsibilities to the subject, to the students, to the profession, and to the institution. When speaking or acting as a private person, the professor avoids creating the impression of speaking or acting for the college or University. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

#### **4. Questions**

Questions regarding this policy are to be directed to the Office of the Provost.

Revised: December 16, 2019

Adopted: June 1, 1994

Southern Methodist University. (2019b). *University policy manual: 2.1, Standards of professional ethics for faculty and academic freedom*. <https://www.smu.edu/Policy/2-Academic-Affairs/2-1-Standards-of-Professional-Ethics-for-Faculty-and-Academic-Freedom>

**Appendix K: Fondren Library Request for Reconsideration Form**

[created by Joanna Russell Bliss; not an official form for SMU Libraries]

SMU Libraries and Southern Methodist University value academic and intellectual freedom, but we also recognize that our community consists of individuals with different opinions and views of scholarly topics. If you have concerns about a resource within Fondren Library, please submit this form to the Director of Fondren Library. The resource will remain accessible on the shelf or through our online catalog while consideration of this form has been completed.

Date:

Name:

Address:

City, State and Zip:

Phone:

Email:

Is this form submitted on behalf of yourself or an organization? If an organization, please state the name of the organization.

1. Information about the resource in question.
  - a. Please circle the type of format for the resource.  
Book (print or electronic)                      Journal (print or electronic)  
Newspaper    Magazine  
Other:
  - b. Title:
  - c. Author/Creator:
  - d. Copyright Year or Volume/Issue:
  - e. LOC Call No. or ISBN:
2. How did you find the resource?
3. What exactly is your concern about the resource? Please cite specific examples of your concern, as well as page numbers of its location within the resource.
4. Have you read or consumed the resource in its entirety? If not, what sections did you read or look through?
5. What reviews or scholarly opinions have you read or seen on this book or topic?  
Please be specific.
6. What would you like the library to do with the resource? Why?



7. What resource would you recommend takes its place in our collection?

Recommended materials must cover the same area and be readily available for purchase. Please include all citation information necessary to find the resource.

Printed Name of Person Submitting Request for Reconsideration:

Signature:

Date: